

STEP BY STEP PROCEDURE FOR ACCOUNT OPENING

- Client registration is an ongoing process, with applications for registration as clients for the equity broking business being regularly received. Both the Head Office (HO) and branches are responsible for registering new clients, with experienced personnel handling the process.

The steps involved include:

- Initial review of the application by one individual.
 - Rechecking by a second individual.
 - Submission of the documents to an authorized person for final approval.
- The registration process includes the collection of Know Your Customer (KYC) documents and supporting materials to familiarize the firm with the clients. Clients are typically acquired through personal referrals, and risk assessments are conducted based on the client's profile and relationship.
- **Client Registration Forms** contain detailed instructions for account opening and equity market participation.

Checklist and Instructions:

1. Originals of all submitted documents must be verified at the time of form submission.
2. Documents for Non-Individuals Clients:
 - Annual Reports and Balance Sheets from the last financial year.
 - Partnership Deed (for firms), Memorandum and Articles of Association, and Board Resolution (for corporations).
3. Identity Proof (for individuals, proprietors, partners, directors, trustees, etc.):
 - PAN Card, Passport, Driving License, or Voter ID.

4. Address Proof (documents must not be older than three months):
 - Recent utility bills, rent agreements, or insurance policies.
 5. A copy of a cancelled cheque or a recent bank statement (not older than three months).
 6. Details of all bank and Demat accounts held by the client.
 7. Proof of Demat account details.
 8. Any corrections made in the form must be countersigned by the applicant (no whitener allowed).
 9. Separate forms must be submitted for different entities (individuals, corporate, etc.).
 10. The forms must be filled out carefully to avoid rejection.
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- In-person verification of each client is conducted by an authorized person. The company official will make client familiar with Rights & Obligation, Risk Disclosure and other documents.
 - Incomplete forms will not be accepted, and any discrepancies or deviations must be reported to superiors. For clients opting for the Electronic Contract Note (ECN) facility, a separate letter must be obtained, including their email ID and unique client code.
 - The company will provide all executed documents related to KYC for client's records.
 - For any query related to account opening, client can contact on **98202371042** or write to **info@dindayal.net**.