

## KRA POLICIES

All the documents like Id proof, residence proof will be collected and verified by us. We verified PAN with the NSDL Pan Site and affix the Rubber stamp as required.

We verify the proof documents with original documents. We assign names and signature of the introducer at the required places.

We obtain Bank details and DP details in case of Trading account.

All the clients are required to visit our office or our employee visit to clients place in person. The account is opened as per the name printed on the PAN card after making verification from NSDL Tin Site / Income tax.

The concerned officer who is carrying out in person verification is put his signature and filled up details in appropriate format in KYC form.

The office in-charge will carry out due diligence i.e. their whereabouts, experience in capital market and shall make the client aware of risk factor in dealing in capital market.

From Office we make call for verification of certain information and after taking the information KYC forms are allowed to proceed.

Account is opened after verifying all the required documents and copy of complete KYC is send to the Clients address and we obtained the acknowledgement

After opening the accounts UCC is uploaded to the respective segment of the exchange/s. When UCC is uploaded successfully to the exchange, the clients are mapped on the Trading System on next day.

Delay in cases where client has not submitted required proof of address or proof of identity or other documents in case NRI / HUF / Partnership Firm / corporate Accounts, until full documents are not received, we would not proceed the KYC.

After opening the Accounts, we dispatch the Welcome Kit which contains the client account opening pages, Tariff card copy and other documents to the clients.

We are regularly updating our back office software to know the name of debarred Entities issued by SEBI.

We are also verifying the Client who seeks to open Account with United Nations list which need as per PMLA guidelines.

Now as per New KRA Regulation and after successful implementation of KRA we are under processing to comply KRA Regulations for the KYC Opened after January 2012.

As per KRA policy we fill Form I for individual and Form N for non individual corporate client including HUFs and along with form we enclose Copy of PAN Card and Address proof duly self authenticated by the client.

We ensure that all new clients KRA details are sent to KRA agencies with in 10 days of KRA details uploaded to KRA website.

We also check the status of KRA after 30 days of KRA uploaded and follow up action is initiated for KRA approval.

In case of corporate clients we carry out the KRA of each Promoter having in excess of 25 % of the shares of respective corporate

In case of partnership firm we carry out the KRA of each partner having in excess of 15 % of the capital or profits of the firm.

And in case status of KRA is on hold after 45 days we deactivate the client code from our back office.

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