

## **JAMNADAS MORARJEE SECURITIES LTD**

### **INTRODUCTION- REGISTRATION OF CLIENTS**

- **INTRODUCTION:**

This is a policy document for guiding the operations of the organization.

This Document is for internal use and not of circulation.

#### **\*Basis of accepting as client**

##### **CLIENT REGISTRATION:**

This is first stage of contact with the client. It is very important to take adequate details from the clients to maintain a record of the details of the clients.

**1. Company registers client by obtaining the Client Registration Form which is foremost requirement of exchange. In this form the basic details of the clients are obtained i.e.**

**a .Name of client: which is used to identify the client.**

**b. Residential Address is taken with the address proof which are the document specified by exchange i.e. Ration Card, Passport, Voters ID or, Driving License.**

**c. Also taking photo identity proof of Pass Port, Voter ID, and Driving License Copy.**

**d. Photograph of client in case of Individual.**

**e. For Corporate client Board Resolution, Memorandum of association & article of association of company, Share holding pattern, Details of Authorised Persons and Directors.**

**f. Pan card of all clients.**

All these document form part of KYC Norms, which is, will be taken from all the clients.

**g. Bank Details of the client along with the proof of the same i.e. Xerox of the bank pass book or cancel cheque with sign the bank so that company can keep track of the third party payment i.e. amount paid through other person account.**

**h. DP accounts details which are to giving & taking delivery of securities. Proof of the DP Account holder name will be taken. This is also for not third party delivery of the security i.e. security of client given to other persons or taking delivery of other persons.**

- Procedure for In-person verification of clients and maintenance of proof for the same, specifically in respect of out station & sub-broker clients-YES
- Whether Client Registration Documents (CRD) given to new clients & to existing clients, on demand. Also, whether UCC & email ID communicated to clients on CRD or separate letter, and proof for the above.- YES
- Do you outsource client registration modalities? –N.A.
- Do you entertain walk in clients? If yes, what are risk mitigation measures taken in dealings with such client.-No we do not entertain walk in clients.
- Process of record keeping and retrieval of client registration document.

**YES Binding of Client Registration Documents**





