

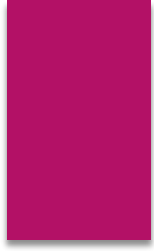


# Client Account Opening Procedure

STEP BY STEP

# Client Account Opening Procedure

- ▶ Visit to Registered/Branch Office or Download Account Opening Form from Website <https://dharamshi.net/downloads/>
- ▶ To fill up details in Client Introduction Form for gathering the necessary documentation. We need to gather the necessary documentation, it will typically include your Mobile no., Email ID, PAN card, Aadhaar card, proof of address, Bank & Demat account details, proof & Source of income.
- ▶ Verification of Pan and Aadhaar linking.
- ▶ In person verification for account opening.
- ▶ Complete the account opening form with duly signed.
- ▶ Wait for the account to be approved. Once the firm has received your form and documentation, we will review it and approve or deny your application. This process can take a few days.
- ▶ Start trading! Once your account is Active, you can start trading stocks, bonds, and other securities.



## Individual checklist

### IMPORTANT INSTRUCTIONS for filling the KYC Form: •

The account opening form should be filled in BLACK / BLUE INK and CAPITAL LETTERS ONLY.

- All proofs, photographs, and signature on the form should be clearly visible and should be self-attested by client.
- The details mentioned in the proof submitted matches with the form filled up by you as per the Checklist table.
- Signatures and date of birth should match with the proof submitted.
- White ink is not allowed on form. All corrections need to be countersigned with full signature.
- In case of DP in joint names, all the proofs-PAN card, address proof and photo should be provided for 2nd & 3rd Holder also.
- Pan Card & Adhaar Card Proof of Nominee and Guardian also to be provided.

### Abbreviations:

- 1) "The proof should be valid on the date of agreement.
- 2) " "The proof should not be more than 3 months old.
- 3) # Bank Statement should be attested and of latest quarter.
- 4) ## Bank Passbook should have Bank Manager's Stamp & Sign if it is handwritten.

**PROOF OF FINANCIAL DETAILS**, anyone (for Derivatives only) Net-worth Certificate (CA certified) Return Copy of Annual Accounts Copy of Income Tax Demat Holding Statement Copy of Form 16 (Salary Certificate) bank statement of last 6 Months

Validation Required	ID Details			Address Details		Bank Details	
Proof type	Name	Sign	Photo	Correspondence Address	Permanent Address	Bank Name & A/c No.	MICR/IFSC Code
PAN Card	✓	✓	✓				
UID (Aadhaar)	✓		✓	✓	✓		
Voter ID	✓		✓	✓	✓		
Driving Licence*	✓	✓	✓	✓	✓		
Passport*	✓	✓	✓	✓	✓		
Ration Card				✓	✓		
Telephone Bill** (Mobile bill not accepted)				✓	✓		
Electricity Bill**				✓	✓		
Bank Statement #				✓	✓	✓	✓
Bank Passbook ##				✓	✓	✓	
Cancelled Cheque (With Client name & A/c NO. Printed)						✓	✓
Bank Verification Letter (Original Stationary)	✓	✓	✓	✓	✓	✓	✓



### **ADDITIONAL PROOFS FOR NRI (NON-RESIDENT INDIAN)**

- 1. Bank A/c should be either Repatriable Bank A/c for NRE or Non-Repatriable A/c for NRO Status.
- 2. Valid Passport/ PIO/ OCI card as proof of Identity. Proof of Foreign Address and Indian Address (if any)
- 3. Proof of Demat Account should be only with NRI Status.
- 4. Permission for dealing in securities from Authorized Dealer (Bank) / RBI.

### **PROOF OF EXISTING DEMAT ACCOUNT HOLDERS**

Client Master Report/DP Statement

- 1) Client name & DP A/c No. on the proof of DP submitted should match with that mentioned in the account opening form.
- 2) DP Statement should clearly show DP ID & Client ID



## **Non-Individual checklist**

IMPORTANT INSTRUCTIONS for filling the KYC Form:

- The account opening form should be filled in BLACK / BLUE INK and CAPITAL LETTERS ONLY.
- All proofs, photographs and signature on the form should be clearly visible and should be self-attested by client.
- The details mentioned in the proof submitted matches with the form filled up by you as per the Checklist table.
- Signatures and date of birth should match with the proof submitted.
- White ink is not allowed on form. All corrections need to be countersigned with full signature.
- In case of DP in joint names, all the proofs-PAN card, address proof and photo should be provided for 2nd & 3rd Holder also.
- Pan Card of Nominee and Guardian also to be provided.

## Type of Entity

## Type of documents

### HUF

- Pan card of HUF (Mandatory)
- Address Proof of HUF (Anyone)
- Bank Statement not more than 3 months.
- Passbook Copy
- Bank Proof (Anyone)
- Pre-printed cheque HUF Name Printed
- Bank Statement
- Karta Documents
- Pan Card (Mandatory)
- Aadhar / Driving License / Passport / Voter ID
- Additional Documents
- 2 Photograph
- Deed of declaration of HUF / List of Coparceners

Note: All the coparceners and HUF signature required in the DDPI & Stamp Paper  
HUF affix stamp required at all the place where the KARTA sign

### Partnership

- Pan card of Firm (Mandatory)
- Address Proof (Anyone)
- Bank Statement not more than 3 months
- Land line Telephone Bill / Electricity bill (Not more than 3 months old) Bank Proof (Anyone)
- Pre-printed cancelled Cheque
- Bank statement/passbook
- Additional Document
- Copy of the Balance sheets for the last 2 financial years
- Copy of Partnership deed
- Certificate of registration (for registered partnership firms only)
- Photograph, POI, POA, PAN of all Partners
- Consent letter from Partners
- Authorized partners list with specimen signatures
- Copy of the Board Resolution

### LLP

- Pan card of Firm (Mandatory)
- Address Proof (Anyone)
- Bank Statement not more than 3 months
- Land line Telephone Bill / Electricity bill (Not more than 3 months old) Bank Proof
- Pre-printed cancelled cheque.

- Latest shareholding Pattern
- Authorized Signatories List with specimen signature
- PAN, DIN & Address Proof of all Partners
- Copy of latest share holding pattern
- Last 2 Years Annual Report (Balance sheet, P&L, Auditors Reports etc.)
- / Declaration for New entity
- Partnership Deed/ LLP Agreement/ Constitution Agreement
- All the Authorized Partners signature required on the DDPI & Stamp Paper
- UBO Declaration with PAN and Photo for holders >10% holding
- Board Resolution

## Trust

- Pan card of Trust as well as all Trustee (Mandatory)
- Address Proof of Trust (Anyone)
- Bank Statement not more than 3 months
  - Land line Telephone Bill / Electricity bill (Not more than 3 months old)
  - Bank Proof of Trust
  - Pre-printed cheque
  - Bank statement/passbook
- Additional Documents
- Copy of the Balance sheets for the last 2 financial years
  - Copy of Board Resolution required
  - Copy of Trust deed
  - Certificate of registration (for registered trust only)
  - Photograph, POI, POA, PAN of all Trustees
  - List of trustees certified by managing trustees/CA
  - List of Authorized Trustees with specimen Signature
  - UBO Declaration with PAN and Photo for holders >10% holding

## Note

- Registered Trust – DP account in the name of Trust
- Unregistered Trust – DP account will be open in the name of Trustees bases on Resolution
- All the Authorized Signatory signature required on the DDPI & Stamp Paper
- Pan card of Entity (Mandatory)

## FDI

- Address Proof (Any one)
- Bank Statement not more than 3 months
  - Land line Telephone Bill / Electricity bill (Not more than 3 months old)
  - Bank Proof
  - Pre-printed Cancelled cheque
  - Bank statement/passbook
- Additional Document
- Copy of the Balance sheets for the last 2 financial years
  - Copy of latest share holding pattern
  - Photograph, POI, POA, PAN and DIN numbers of all directors as well as Authorised signatories
  - Copy of the Memorandum and Articles of Association and Certificate of Incorporation
  - Copy of the Board Resolution
  - Authorised signatories list with specimen signatures
  - FDI Declaration





## **BODY CORPORATE**

- Pan card of Entity (Mandatory)

### Address Proof (Any one)

- Bank Statement not more than 3 months
- Land line Telephone Bill / Electricity bill (Not more than 3 months old) Bank Proof
- Pre-printed Cancelled cheque
- Bank statement/passbook

### Additional Document

- Copy of the Balance sheets for the last 2 financial years
- Copy of latest share holding pattern
- UBO Declaration with PAN & POA and Photo for holders >10% holding
- Photograph, POI, POA, PAN and DIN numbers of all directors as well as Authorized signatories
- Copy of the Memorandum and Articles of Association and Certificate of Incorporation.
- Copy of the Board Resolution
- Authorized signatories list with specimen signatures
- List of Director