



Policy: Account opening for clients

Purpose: To comply with the rules and regulations as instructed by SEBI before opening of account for a client

Procedure:

- Account opening form along with client registration documents (PAN/Address proof/nominee proof/ cancelled cheques and bank statement for the last 6 months) are obtained from the client mandatory and the same is checked by the back office team. Without any relevant document or attestation are missed and also not linked PAN with AADHAAR will be rejected at this stage itself.
- In person verification is carried out if the document are valid and All the relevant details are check and uploaded to the KYC/CKYC on the day of form received.
- After KYC/CKYC got validated ,The details are captured in the back office software. These details are uploaded to the CDSL depository for obtaining the Demat account.
- Allotment of unique client code (Duplication is not possible since two step verification is made before allotting the same) is made by the account opening team for trading account. All relevant details such as brokerage details are checked at the back office and sent for the approval of RMS.
- The same is uploaded to the exchanges upon confirmation from the RMS team.
- All the relevant details such as policies and procedures , Client code , mail id etc is sent to the customers as their copy after 7 days from the day of account opening

People responsible for the process:

- A team member from RMS checks the client registration documents initially and approves the same and passes on the same to front office desk
- A team member of the front office team fills the form and enters the same in the back office software .
- CVL KRA and CKYC details are verified by the front office and modified if necessary before the same is uploaded to the CVL KRA AND CKYC website
- As a second level verification, a team member from DP checks the same , approves and uploads the same in the CDSL server. Upon uploading the same, the same gets captured in the back office software

SSPL Wealth Pvt. Ltd.

(Formerly known as : Saravana Stocks Pvt. Ltd.)

(Member NSE, BSE, MCX, CDSL)

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- A team member from DP also creates a trading account and allots the unique client code to the particular client (Maker) and another member from the DP team checks and clears the same (Checker) after which the same is uploaded in the exchange .
- After uploading the same to the exchange , the brokerage details are added to the back office software by a member from the DP team (Maker) and the same is checked by the member from the operations team(Checker)
- A team member from RMS uploads the client details to the RMS server and signs off on the account opening form .
- The account opening form is made available to the compliance officer for signing off

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