



Bhogilal Trikamlal Securities Pvt. Ltd.

MEMBER: BSE LTD. & NSE LTD.

R-717/721, Rotunda Bldg., B. S. Marg, Fort, Mumbai - 400 023. || Tel.: 2272 1907 • Fax: 2272 2966

PROECDURE FOLLOWED FOR KRA/CKYC (Know Your Client Registration Agency)/ CKYC (Central Know Your Customer).

KYC REGISTRATION IS AS FOLLOWS: -

* We have affiliated with the KRA/CKYC Repository: CVL KRA/CKYC.

* Officers in charge for KRA/CKYC are: - 1] Mr. Chandrakant Tele (principal officer)
2] Mr. Nikhil Rikame.

3) Steps to be taken for KRA/CKYC Compliance:

1]KRA/CKYC Process for new clients:

* Providing KRA/CKYC KYA form to the client with new trading and/or Demat Form, without which we do not open a new account for any client.

* Only forms filled and signed with all document are accepted.

* At the time of acceptance of document, we are doing In-Person verification.

* After acceptance of all the documents we check whether the client has registered in NDML, CVL or in DOTEX and we verify the PAN details from the income tax site and also check PMLA. (Watchout investors.com)

* After confirming all of the above details we do the registration from CVL KRA/CKYC and dispatch the documents to the CVL KRA/CKYC agency.

* After dispatching the documents to CVL we normally wait for confirmation from CVL KRA/CKYC for allowing our clients to trade/open the Demat account. (15 working days)

2]KRA/CKYC process for already registered client:

* We send the KYC form to the client.

* Only forms filled and signed with all document are accepted.

- * If the documents are perfect, we check the status of the KRA/CKYC from CVL KRA/CKYC website.
- * If client is registered in CVL or in CVLMF, we download the form and documents from their website and if status shows old record submitted, we scan the forms and documents and submit the scanned documents to CDSL.

Actions to be taken in case of Problems faced in compliance: -

* CVL KRA/CKYC:

Income of Active Accounts

- * The clients are required to send the necessary documents to fulfill the compliance requirements.
- * The accounts are sent to Dormant/ Inactive status till the formalities are not complied with.
- * Only after the requested documents are received & duly updated in the KRA/CKYC system the account status may be changed to active.

Income of inactive / Dormant Accounts

- * The clients are required to send the necessary documents to fulfill the compliance requirements.
- * The accounts are sent to Dormant/ Inactive status till the formalities are not complied with.
- * Only after the requested documents are received & duly updated in the KRA/CKYC system the account status may be changed to active.