

Onboarding A Client

MEHTA EQUITIES LIMITED FOLLOWS THE FOLLOWING STEPS:

- ▶ Inquire whether the client prefers to open an individual or non-individual account.
- ▶ Request a copy of the client's PAN Card and Aadhaar card.
- ▶ Verify that the PAN and Aadhaar are linked.
- ▶ Provide the new account opening form (Help Desk).
- ▶ Ask for the names of the client's father/spouse and mother.
- ▶ Check if the client has a savings or current account with a bank.
- ▶ Request a canceled cheque.
- ▶ Ask for the client's personal or registered email ID and mobile number.
- ▶ Inquire about the client's income and occupation.
- ▶ Request one passport-sized photograph.
- ▶ Ask if the client wants to include a nominee for the account (yes or no).
- ▶ If yes, request nominee documents (PAN or Aadhaar copy).
- ▶ Obtain the nominee's relationship to the client and date of birth.
- ▶ Provide the Power of Attorney (POA) form.

INDIVIDUAL

Step 1: Checklist

- ▶ Mother Name
- ▶ Father/Spouse Name
- ▶ Email id
- ▶ Mobile no.
- ▶ Mention Email & Mobile Relation
- ▶ Income & Occupation
- ▶ Copy of pan card
- ▶ Proof of Address of account holders (Aadhar Card)
- ▶ Nominee Document Required any One (PAN, AADHAR)
- ▶ Nominee Document Required any One (PAN, AADHAR)
- ▶ Mention Nominee Relation
- ▶ Bank details proof – Cancelled Cheque with Printed Name/Copy of bank passbook or bank statement.
- ▶ Pan aadhar linkage is mandatory
 - If Account is Going to open in NSE Currency and NSE F&O latest 6-months Bank Statement is Compulsory/ITR Copy
 - All above mentioned documents should be self-attested by client.

Step 2: Pan verification

- ▶ Pan verification through RPACPC (income tax site)
- ▶ Name verification
- ▶ Valid/invalid/inoperative status
- ▶ DOB verification

Step 3: PMLA verification

- ▶ Screening of pan

Step 4: Documents verification

- ▶ Signature verification (booklet and documents)
- ▶ Aadhar card and pan card verification against booklet
- ▶ Address verification against aadhar on address written booklet
- ▶ Bank verification against cheque.

NON INDIVIDUAL

Step 1: Checklist

- ▶ BANK DETAILS OF COMPANY (CANCELLED CHEQUE IN ORIGINAL NAME OF COMPANY SHOULD BE PREPRINTED)
- ▶ PAN CARD COPY OF COMPANY
- ▶ CORRESPONDENCE ADDRESS PROOF OF COMPANY – BANK STATEMENT OR ELECTRICITY BILL OR LANDLINE (MTNL/BSNL) TELEPHONE BILL NOT MORE THAN TWO MONTHS OLD (ANY ONE) FORM 18 DULY ACKNOWLEDGE BY ROC FOR CHANGE IN ADDRESS.
- ▶ COMPANY BANK STATEMENT REQUIRE SIGNED BY AUTHORIZED SIGNATORY WITH COMPANY STAMP.(LAST 6-MONTHS TRANSITIONS)
- ▶ ALL DIRECTORS OR AUTHORIZED SIGNATORY KYC WITH PAN CARD COPY & ADDRESS PROOF REQUIRED.
- ▶ LIST OF AUTHORISED SIGNATORY REQUIRED ON COMPANY LETTER HEAD
- ▶ LIST OF DIRECTOR REQUIRED ON COMPANY LETTER HEAD
- ▶ LIST OF SHARE HOLDER REQUIRED IN PERCENTAGE FORMAT ON COMPANY LETTER HEAD
- ▶ BOARD RESOLUTION REQUIRED ON LETTERHEAD OF COMPANY WITH LIST OF DIRECTOR/AUTHORIZED SIGNATORY CLEARLY MENTIONED MODE OF OPERATION.
- ▶ LATEST 2-YEASR'S BALANCE SHEET REQUIRED.
- ▶ MEMORANDUM & ARTICLE OF COMPANY DULY CERTIFIED TRUE COPY BY DIRECTOR/AUTHORIZED SIGNATORY.
- ▶ CERTIFICATE OF INCORPORATION.
- ▶ FATCA FORM REQUIRED
- ▶ FORM-32 REQUIRED IF DIRECTOR/AUTHORIZED SIGNATORY IS OTHER THAN MENTIONED ON MEMORANDUM.
 - 10 OR MORE THAN 10% SHARE HOLDER DETAILS REQUIRED ON ANNEXURE FORM
 - NOTE- ALL DOCUMENTS SHOULD BE SELF-ATTESTED BY AUTHORIZED SIGNATORY (IES)

Step 2: MCA V3 SITE VERIFICATION

- ▶ FETCH DATA FROM THIS SITE
- ▶ VERIFY THE COUNT OF DIRECTORS

Step 3: Pan verification

- ▶ Pan verification through RPACPC (income tax site)
- ▶ Name verification
- ▶ Valid/invalid/inoperative status

Step 4: PMLA Verification

- ▶ Screening of pan

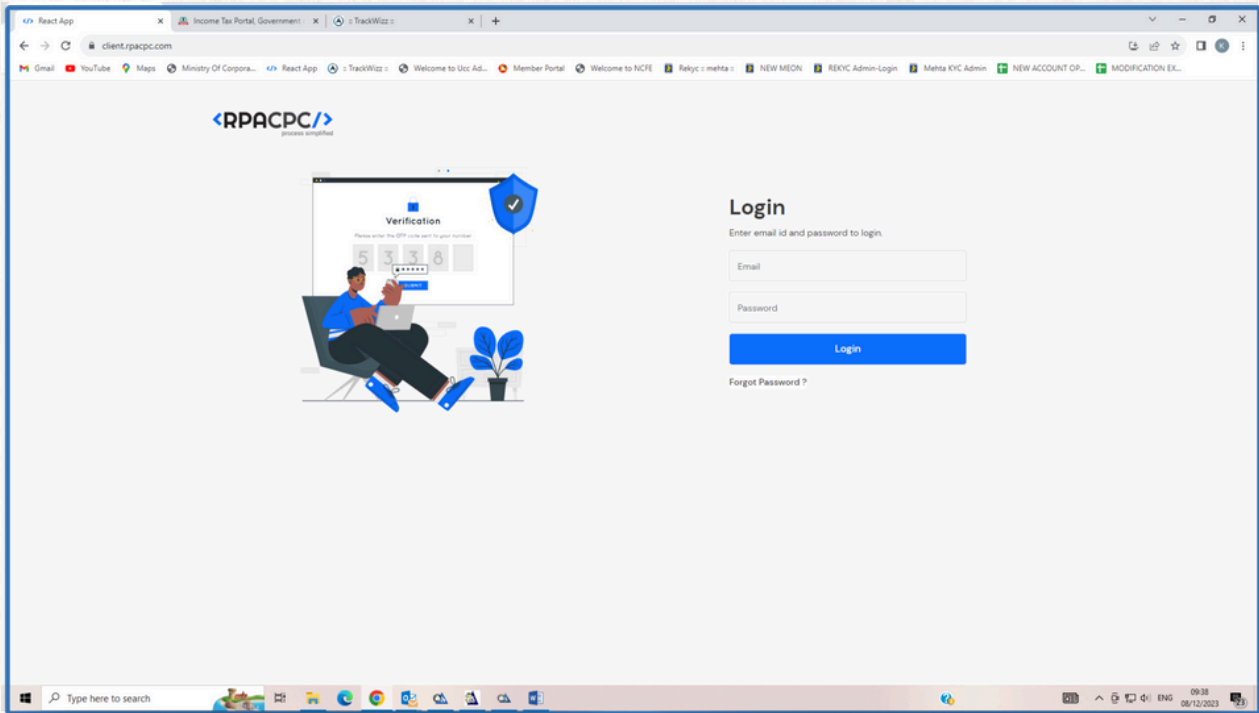
Step 5: DOCUMENTS VERIFICATION

- ▶ Signature and stamp verification (booklet and documents)
- ▶ Documents verification against booklet and mca fetch data
- ▶ Company registered address confirm against mca site and company letter head.
- ▶ Confirmation of authorized signatory with the help of board resolution
- ▶ Bank verification against cheque.

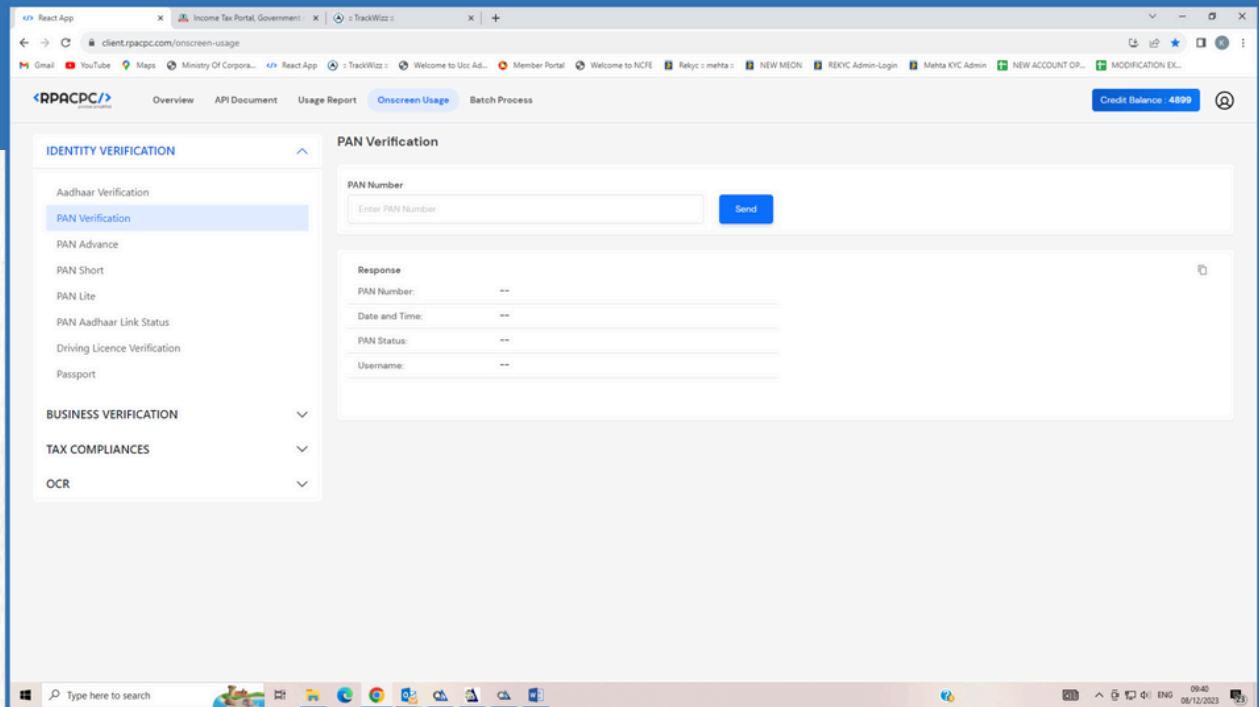
INCOME TAX SITE

USER ID - *****

PASSWORD - *****

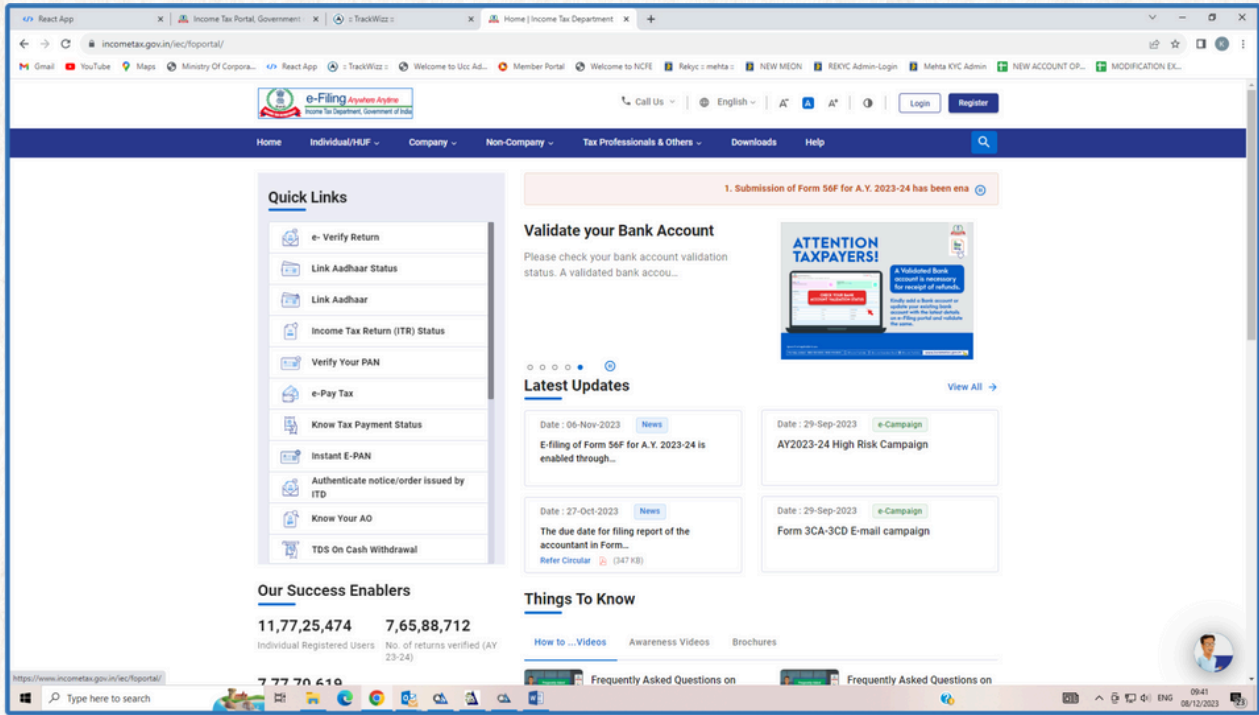


Click on Onscreen Usage Tab

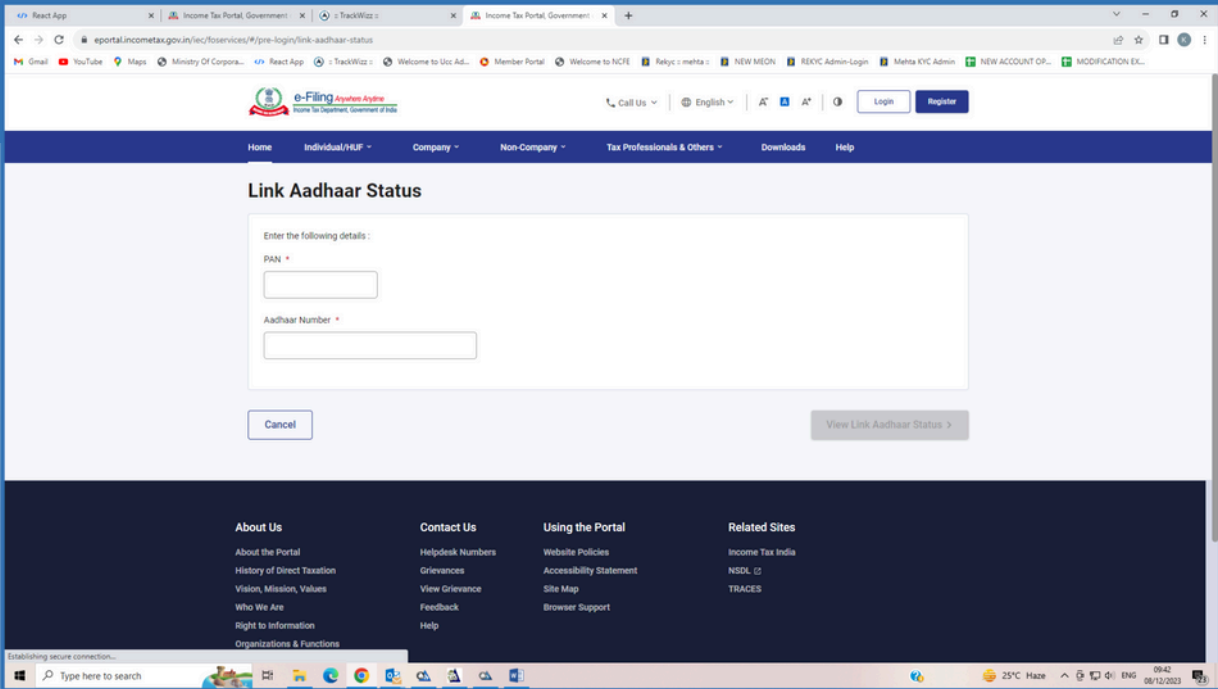


PAN AADHAR LINK SITE

<https://www.incometax.gov.in/iec/foportal>



Open Link Aadhaar Status Option

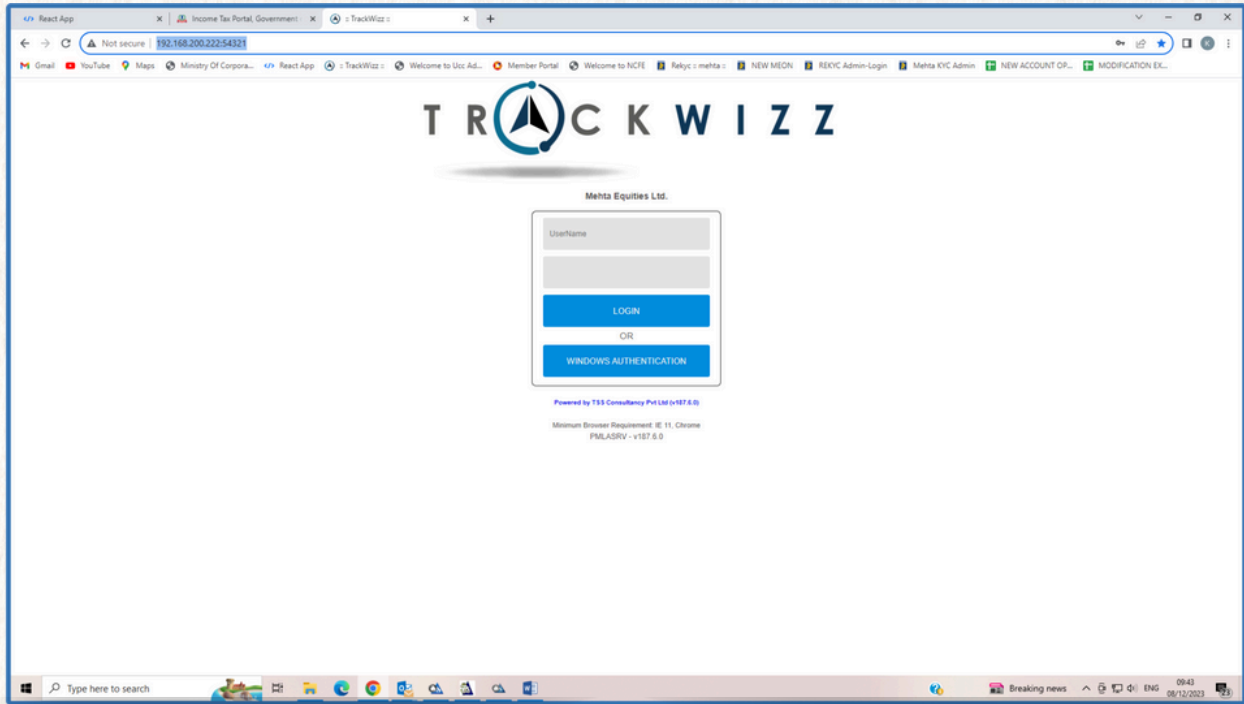


TRCKWIZZ LOG IN

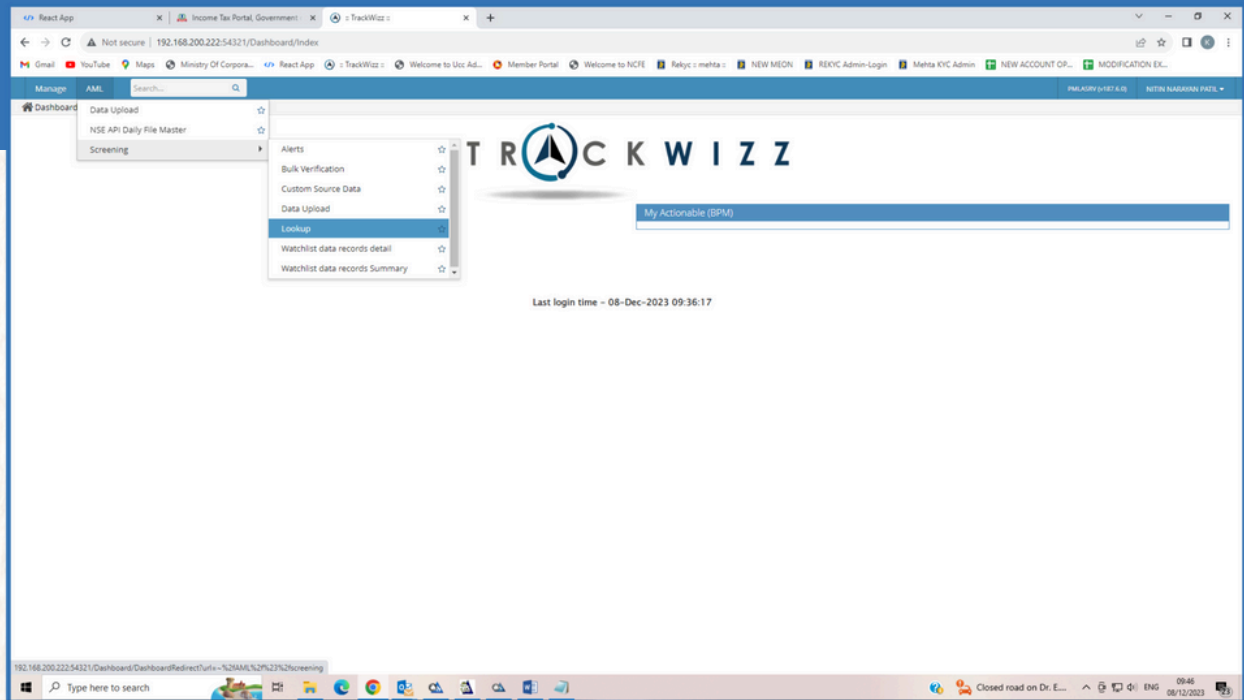
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USER ID - *****

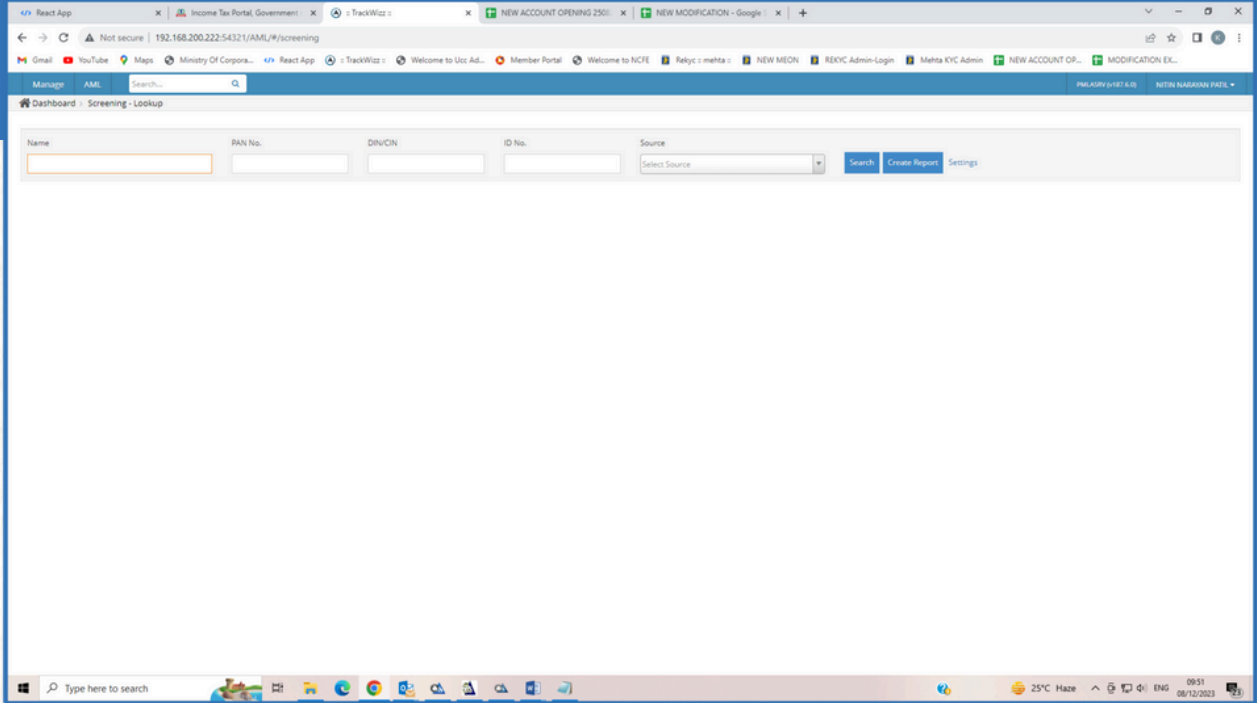
PASSWORD - *****



AFTER LOG IN GO TO : AML - Screenshot – Lookup Tab



ENTER NAME AND PAN NUMBER

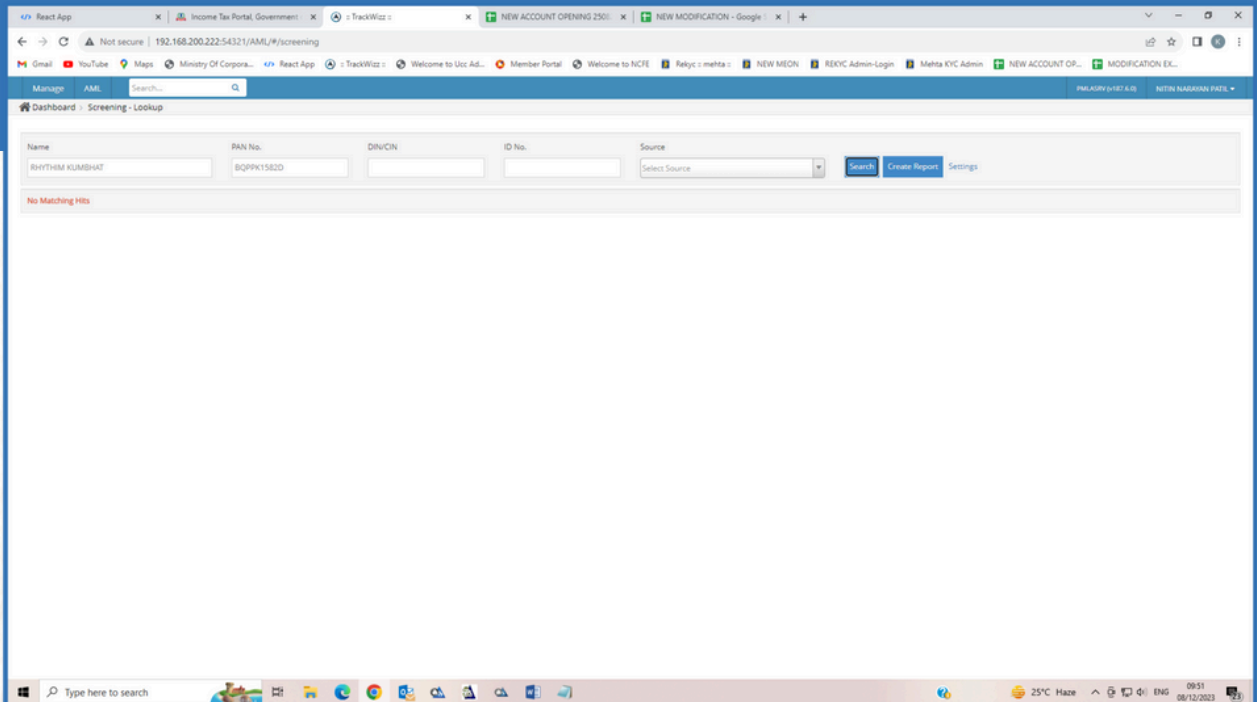


The screenshot shows a web browser window with the URL `192.168.200.222:54321/AML/#/screening`. The page title is "Dashboard - Screening - Lookup". The form contains the following fields:

Name	PAN No.	DIV/CIN	ID No.	Source
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Select Source

Buttons: Search, Create Report, Settings

ENTER NAME AND PAN NUMBER



The screenshot shows the same web browser window as above, but with the following data entered:

Name	PAN No.	DIV/CIN	ID No.	Source
RHYTHM KUMBHAT	BQPPK15E2D	<input type="text"/>	<input type="text"/>	Select Source

Buttons: Search, Create Report, Settings

Message: No Matching Hits