Manual (Process) e-KYC - Account Opening

Click on Link - https://www.lalkarsecurities.com/

Step 1 \rightarrow Click on Back office



Step 2 \rightarrow Click on Back office



Step 3 \rightarrow Click on New Account Opening

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| | Lalkar S 5th Floor, Cre | Securities Pvt Ltd (2023-2024) seent Chambers, Tamarind Lane, Fort, MUMBAI-400001 | Here Are Opening |
| E | Company Name User ID Password Code Type Login Type | Lalkar Securities Pxt Ld Login ID Password Secioffice All TkQp/BSY Enter Captcha Login Cancel | |
| D - Client Level Developed by : Apex Soficell (INDIA) Pvt. Ltd. Makers of Lidha Didha. | | * Policies And Procedures | Registered Office 9 a dia water water Barrier (1997) Registered (1 |
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Registration Page will appear:

- Client need to fill Name, Email Id and Mobile Number.
- Once the data entry is done by client \rightarrow OTP would automatically come on Inbox (Email) and Mobile.
- If OTP is not received within 60 second \rightarrow client can click on "**Resend OTP**" to get the OTP again.
- If the OTP entered by the client is invalid → System will show message "OTP is invalid". Client can reenter the OTP or else can wait for 60 seconds and click on "Resend OTP".

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| | | | | | OPEN / | ACCOUNT |
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| | | | a | | Mobile Number | |
| | | | | | Mobile Number | |
| | | | | | Email | |
| | | | | | Email Id | |
| | | | | | Location | |
| | | | | | Location | |
| | | | | | Once you enter all details OTP would au | tomatically come on Email and Mobile |
| | | | | | Enter OTP send on Mobile | Enter OTP send on E-mail |
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Input:

- Insert Date of Birth.
- Insert PAN Number
- Mobile Family: Please select appropriate relationship from dropdown
- Email Family: Please select appropriate relationship from dropdown

Step 5 \rightarrow Help:

- If KRA is already registered on CVL / NDML : Your Name, Address and other details would be fetched and available on Profile Creation page for verification.
- If KRA is not registered on CVL / NDML : 1] Please put your Aadhar number, Data would be fetched from Digi locker and populated on Profile creation page for verification. 2] You will receive OTP on Aadhar Registered Mobile for Authentication.
- If KRA is neither registered on CVL / NDML or Aadhar- You can put details manually and proceed further.

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| Steps to Form Code Open Account FRM00156 | KYC Check | 🕐 Help — |
| (the kyr check | Date Of Birth | KYC Check: |
| NO OILCAN | 04/10/1982 | Input: |
| Profile Creation | | Insert Date of Birth. Insert PAN Number Mobile Family: Please select appropriate relationship from dropdown |
| | PAN Number | Email Family : Please select appropriate relationship from dropdown Holm: |
| Bank and income Details | AGTPC3099C | If already registered on CVL / NDML : Your Name, Address and other |
| Trading Segment | Mobile Number | details would be fetched and available on Profile Creation page for verification |
| Winding Segment | 9920724002 | If not registered on CVL / NDML : 1) Please put your Aadhar number, Data would be fetched from Dioi locker and populated on Profile creation page |
| Nominee Details | Email | for verification. 2] You will receive OTP on Aadhar Registered Mobile for |
| | cdsl@lalkar.in | If neither registered on CVL / NDML or Aadhar- You can put details |
| Document Upload | Mobile Family | manually and proceed |
| | Self | |
| Click on above sections to navigate through your form (if | Email Family | |
| already filled). | Self | |
| | Are you a U.S citizen? Yes ONo | |
| | Terms and Conditions | |
| | I hereby give my consent to use my Aadhar / Virtual ID details (as applicable) for the purpose of e-Signing my account opening form. | |
| | By submitting my PAN, I authorize Lalkar Securities Pvt Ltd to fetch my data from KYC Registration Agency. Currently this process is applicable only for opening individual trading account and single holder Demat accounts for resident individuals. Soon we shall allow for | |
| | NRIs and multiple holders in Demat account. | |
| | Please note that by submitting the above mentioned details, you are authorizing us to Call/SMS you even though you may be registered under DNC. We shall Call/SMS you for a period of 12 months. | |
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Step 6 \rightarrow Bank and Income Details:

Input:

- IFSC Code of your Bank Account
- Bank Account number
- Select Annual Income from Drop down or Alternatively put Networth figure and select date
- Other Details : Please select appropriate information from drop down
- Help:
- Bank details would be verified by crediting Rs. 1
- Income or Networth Should not be older than 12 months

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| | Annual Income 1-5 LAC Net worth Details | • |
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| KYC Check | Declaration Place | | Bank and Income Details: |
| | MUMBAI | | Input: IFSC Code of your Back Account |
| Profile Creation | Other Details | | Bank Account number Select Annual Income from Drop down or Alternatively put Networth fig |
| Bank and Income Details | Documents Sub. Proof | | and select date Other Details : Please select appropriate information from drop down |
| | | ~ | Help: Bank details would be verified by crediting Rs. 1 |
| Trading Segment | GST number (enter, if provided) | | Income or Networth Should not be older than 12 months |
| Naminoo Dataila | | | |
| Wolfinitee Details | Political connected | | |
| Document Upload | Not Applicable | - | |
| 2 | Education | | |
| Click on above sections to navigate through your form (if already filled). | | - | |
| | Authorization Type | | |
| | Quarterly | ~ | |
| | Prior Experience Details | | |
| | Prior Experience | | |
| | Yes | ~ | |
| | Years of experience | | |
| | 5 | | |
| | Years in other Investment Related Fields | | |
| | 0 | Ŧ | Activate Windows |
| | | | Go to Settings to activate Windows. |

Step 7 \rightarrow Trading & Product Plan:

- Input:
- Select segment
- Insert existing DP Details
- Help:
- Equity : Account would be activated in both NSE and BSE
- Derivatives : Derivate, if selected, will be activated in NSE

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Step 8 → Nominee Details

| Steps to Form Code Open Account FRM00156 | Nominee Details | Save | Help - |
|---|-------------------------------|--------|--|
| KYC Check | Nominee-1 Nominee-3 Nominee-3 | | Nominee Details: • Not mandatory for only trading Account opening and can be skipped |
| Profile Creation | Prefix | Save | |
| Bank and Income Details | Nr Name | • | |
| Trading Segment | NEETA D CHITALA | | |
| Nominee Details | Address Line 1 | | |
| Document Upload | Address Line 2 | | |
| Click on above sections to navigate through your form (if | NNCNCNCNN Address Line 3 | | |
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| | City | | |
| | Pin Code | | |
| | 400001 PAN Number | | |
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Step 9 \rightarrow Document Upload:

If Data is already fetched from CVL / NDSL then you can proceed to upload:

- PAN Card
- Photo or it can be clicked from web cam
- Address Proof

- Income Proof (Only if Account to be activated in Derivatives)
- Bank Proof Cheque copy
- Specimen signature
- Demat Account proof
- If Data is fetched from Aadhar : Aadhar and Photo would be fetched from Digi locker, upload rest of the documents.

Step $10 \rightarrow Next Steps$

- If Data is fetched from CVL / NDSL then In person verification need to be done.
- A new page will be opened and you will receive OTP on your registered mobile number. Please write it on piece of paper and display in front of camera without covering the face. Face should be clearly visible. This is to be recorded for minimum 20 seconds.
- Summary page would be displayed post IPV for validation.
- Post validation, you will receive OTP
- Form would be generated for final review and E Sign
- Click on E Sign tab, It will connect to Aadhar for E Sign
- Insert OTP and proceed further
- A final signed copy of form with supporting documents will be available on screen which you can save for your record.
- Data would be sent for further processing and you will be informed via EMAIL once account is activated

Step $11 \rightarrow$ **Confirmation**

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| KYC Check | PAN Card | Upload | Document Upload: |
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| Confirmation | | | × |
| | | | |
| Profile Information | | KYC Check | |
| Name : DHARAM | I G CHITALA | Date of Birth : 04/10/1982 | |
| PAN Number : AGTPC3 | 52 099C | PAN number : AGTPC3099C Mobile number : 9920724002 | |
| Email id : cdsl@lalk | ar.in | Email id : cdsl@lalkar.in | |
| Mobile number : 99207240 | 102 | Are you a U.S. citizen? : No | |
| | | | |
| Check Status | | Profile Creation | |
| Check Verification | Verified from | Applicant name prefix : Mr | |
| Date of Birth No | | Name : DHARAM G CHITALA | |
| Pan number No | | Relation type : Father | |
| Address No | | Father/Spouse Name Prefix : Mr | |
| Mobile number Yes | OTP | Father name : NEETA | |
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Step 12 \rightarrow IPV over webcam

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Step $13 \rightarrow \text{eSign Process:}$

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| | system for obtaining my e-KYC through Aadhaar based Gender, Date of Brith and Address for the purpose of D Lalkar Securities Private Limited. 3. I understand that Security and confidentiality of pers- ensured by Protean and the data will be stored by Protea VID/Aadhaar: VID/Aadhaar: Click Here to generate Virtual ID. Download Instructions to generate Virtual ID in lieu of A | e-KYC services of UIDAI and use my Photo and Demographic details (Name, lightally Signing of Opening Trading/Demat Account Form & Documents for/with onal identity data provided, for the purpose of Aadhaar based authentication is an till such time as mentioned in guidelines from UIDAI from time to time. Send OTP Cancel | |
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Step $14 \rightarrow$ On Clicking "ESIGN" a panel will open in front of client.

The panel which is opened is intermediatory panel of the **e-Sign** vendor i.e **Digio**, **Leegality**, **True Copy** and then redirected to **NSDL site**.

In case of NSDL e-Sign it will redirected directly to NSDL site.

On NSDL site client has to enter 12 Digit Aadhaar or VID i.e Virtual ID and click on Send OTP.

OTP will be sent on mobile registered with UIDAI site.

After 60 second client gets option of "Resend OTP".

In Case of invalid OTP 3 attempts are given and after 3 failed attempt they need to send new request again and follow the same process.

e-Sign Completes

Step $15 \rightarrow$ Back office Process:-

Once the client completes the process the back office team will verify the received details of account opening at maker level.

The team will check mandatory 6 KYC attributes before opening trading and demat account.

Also the team will check linkage of PAN with Aadhaar seeding status before opening the trading and demat account.

In case the maker and checker find's any task in pending or incomplete status, the uploaded details or documents \rightarrow he can reject that particular detail's or document and mention "reason for rejection".

On rejection the mail will be received by client with the reason for rejection and he can change accordingly and proceed forward to complete the process.

The back office team again will do Maker and Checker level and proceed to open demat and trading account.

On verification of client details if found to be in order the same will be assigned to checker level.

The checker will cross verify the documents and details provided by the client.

If the details are verified then checker will accept the documents and details entered and then these details will be pushed to back office.

In case the maker and checker find's any flaw in details or documents uploaded, he can reject that particular details or document and mention the "reason for rejection".

On rejection - the mail will be sent to client with the reason for rejection and he can change accordingly and proceed forward to complete the process.

The back office team again check - Maker Checker level and proceed to open demat and trading account.

*Notes:

We are not permitted to trade for any client in any segment without uploading of UCC including all mandatory fields as specified in the exchange circulars.

As per the exchange circular we are strictly required to ensure that any new client details with all mandatory fields are updated and approved in the Unique Client Code system of the Exchange at least one day prior to commencement of trading i.e. by 5 pm on the previous trading day.

We are not permitted to trade for such clients until UCC is properly registered.