

Clients who wish to open an account with Coimbatore Capital (CCap) shall visit the branch of CCap/Authorised person of CCap and meet the Executive in charge of account opening. In-person Verification is done by the Executives of CCap / Authorised Persons. Alternatively, the client can call the branch over the phone and request the executive to visit the client's residence/office to collect the required documents along with the duly filled and signed Know Your Client [(KYC)-Client Registration Form] in the format prescribed by the respective regulatory authorities (Securities and Exchange Board of India and Exchanges). All documents (proof of name, address, PAN card etc.,) need to be self-attested by the client. This procedure includes the completion of in-person verification process and ensuring all required/mandatory information are filled out by the client.

The Client Registration Forms and supporting documents received by the branches are need to be forwarded to the Head office of CCap at Coimbatore. The forms received from branches are first entered in the inward register and then thoroughly checked and verified depending upon the nature of account type and the segment selected. The forms which are defective are sent back to branches for rectification. The forms which are found to be in order as per the SEBI/Exchange guidelines, PAN is checked with IT website.

The client shall also be checked with the following before uploading to the Exchange.

1. SEBI Debarred entities List which is downloaded from the Web Site of www.nseindia.com/content/press/prs_ra_sebi.xls.
2. Then the client shall be matched with the latest data of UNSCR downloaded from the website <https://www.un.org/sc/suborg/en/sanctions/un-sc-consolidated-list> and stored in the system.

If the client details do not match with data in the list of debarred persons/entities given above, then the details of client are entered into the back office and a Unique Client Code (UCC) allotted and the details of the clients are uploaded to the Exchange.

On receipt of confirmation (Success File) from the Exchange the Client shall be mapped in the trading front end software.

The UCC (activated) of the client is intimated to the client through email communication. All the client registration forms (for which UCC is successfully allotted), and other supporting documents are kept in safe custody at the Head Office Premises. A welcome kit including a welcome letter mentioning the client code (UCC), client copy of the client registration form, RDD Policy and Procedures, Rights and Obligations of the stock broker and clients are sent through Courier/Post.
