

M.S.N. SECURITIES PVT. LTD.

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MEMBERS - NATIONAL STOCK EXCHANGE OF INDIA LTD.
BOMBAY STOCK EXCHANGE LTD.
METROPOLITAN STOCK EXCHANGE OF INDIA LTD.
SEBI REGN. NO. INZ000230036 CIN – U67120MH2006PTC160532

- We are not having facility for EKYC. Therefore, we open a client account offline.
- Persons are added as clients only after they have had a meeting with the director of the company.
- The Client Registration Forms for opening an account are issued only when the management is satisfied with the client's financial capacity to trade in stock market and after the prospective client provides the valid reference & introducer for his account
- Know your client form duly filled in the format prescribed by the exchange, then checked with the mandatory requirements specified by the SEBI & Exchange along with supporting documents, proof of Bank Account, DP account, etc.
- The company has the policy of approval of all application forms by the Director of the company before allowing trading to applicant.
- After the approval received from the Director and proper KYC document the data are upload to Exchange UCI, KRA and CKYC.
- After successful registration with Exchange UCI, KRA and CKYC. We inform the same by sending the welcome kit to clients along with UCC.
- Company has also advised its AP's to make proper diligence about the client before introducing him to the organization and the final authority to approve AP's client also vests with the Director of the company.
- To review ,obtain and identify the beneficial ownerships of non individual clients in terms of SEBI circular no CIR/MIRSD/2/2013 dt 24.1.2013

Closure of Client accounts/ Dormant accounts

- All the care is taken while dealing with cases of closure of client accounts. If client want to close the account due to some operational reasons or difficulties, efforts are made to resolve the issues.
- Request letter from client is obtained.
- In case of dormant account, trading limit is set to zero. Selling limits is only permitted when the securities are held with us.
- The dormant account will activate after receiving activation along with the entire supporting document.