



Procedure for Opening a Trading and/or Demat Account

Step 1: Client Engagement

- The Relationship Manager (RM) approaches the client who wishes to open a trading and/or demat account with LGT Capital Markets Private Limited.
- The RM provides the client with the required account opening forms and explains the process, necessary documents, and compliance requirements.

Step 2: Form Submission

- The client duly fills out and signs the account opening form (AOF) and submits it along with the necessary supporting documents, including:
 - PAN Card
 - Aadhaar Card
 - Address proof (e.g., utility bill, passport, voter ID)
 - Income proof (for derivative trading, if applicable)
 - Bank proof (cancelled cheque or bank statement)
 - Photograph
 - FATCA/CRS declaration
 - Additional documents as per regulatory requirements
- The RM verifies the documents for completeness and submits the package to the Account Opening Team.

Step 3: KYC Verification and Due Diligence

- The Account Opening Team conducts due diligence, including:
 - Validating the Know Your Client (KYC) details with KYC Registration Agencies (KRA) and Central KYC Registry (CKYC).
 - Checking for any discrepancies or deficiencies in documentation.
 - Ensuring compliance with SEBI, NSE, BSE, and regulatory guidelines.
- In case of any discrepancies, the RM and client are informed for necessary corrections.

Step 4: UCC Generation and Exchange Upload

- Once KYC adequateness is confirmed, the Account Opening Team generates a Unique Client Code (UCC).
- The UCC and client details are uploaded to the relevant stock exchanges (NSE and BSE).

Step 5: Account Activation and Communication

- Upon successful registration with exchanges, the client is informed via:
 - A Welcome Letter containing account details, client code, and other relevant information.
 - SMS/Email confirmation about the account setup.
- The client is provided with access credentials for the trading platform and a digital contract note facility.

Step 6: Trading Readiness

- The client can now begin trading, subject to:
 - Meeting the required margin requirement before placing trades.
 - Activating segment-specific permissions based on trading preferences (Equity, Derivatives, Currency, etc.).

Flowchart for Account Opening Process

