

Procedure for Account Opening with UBS Securities (India) Private Limited

UBS Securities (India) Private Limited (hereinafter referred to as UBSSI) is a SEBI registered Stock Broker and member of BSE Ltd and National Stock Exchange of India Limited.

UBSSI caters to both custody settled customers. Our client base includes large Foreign and Domestic Institutions, Sovereign Wealth Funds, ETF Providers and large number of hedge funds across the Cash and Derivatives business.

As a part of the client onboarding process,

- UBSSI sources documentation from KRA (KYC (Know Your Client) Registration Agency). KRA provides for centralized storage / digitization of the KYC records in the securities market.
- Client out reach is done for any incremental requirements or further clarifications if any as needed basis regulatory and internal requirements.
- We have uploaded Account Opening Forms on url www.ubs.com/ubssi which contains the information required along with relevant supporting documents.
- The documentation collected is subject to internal checks and processes including background check verification and approvals.
- Post internal checks , the client is approved from a KYC perspective, the necessary system set ups are initiated.
- Once the client is good to trade, the UCC (unique client code) set up at the exchange for trading purpose is informed to the client.