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KYC & Account Opening SOP

Banking, Finance & Fintech

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This guide explains what the tool produces, how to use the output, and what to watch for. The actual output (draft/report) is generated on the tool page.

Background

Writes a KYC and account-opening SOP for a broking intermediary — PAN and Aadhaar-based KYC, in-person or video verification, bank proof, income proof for derivatives, CKYC upload, verification controls, record retention and red flags. Use this to onboard clients smoothly while meeting SEBI KYC and PMLA norms.

Purpose of this tool & output

Compliant, smooth client onboarding

How the output is used

Use the SOP for compliant, smooth client onboarding with KYC and account opening.

Important cautions

AI-generated SOP; follow SEBI KYC and PMLA norms.

Companion documents

- Sub-Broker / AP Setup Guide
- SEBI Compliance Checklist
- Risk Disclosure Document
- Client Agreement (Broking)
- Margin & Risk Policy
- Grievance Redressal Framework

This is AI-assisted guidance. Verify with a qualified professional before any binding decision. Fees, authorities and processes vary by state and change over time — confirm with your state authority.