

SHRI BRIJ SECURITIES PVT. LTD.

MEMBER : BSE - 454 & NSE - 09759

103, Rajendra Chambers, 19 Nanabhai Lane, Opp. Akbarallys, Fountain, Mumbai – 400 001.

Tel. : (022) 2285 0199 / Email : info@shribrijsecurities.com

CIN : U67120MH1997PTC109880; SEBI: INZ000183033

Client Acceptance policy

1. Know Your Client (KYC)

- **Documentation:** A complete KYC process that includes obtaining identity proofs (e.g., PAN, Aadhaar), address proofs, bank account details, and income details for individual clients. For non-individuals (companies, trusts, etc.), additional documentation is required, such as incorporation certificates and board resolutions.
- **Verification:** Information provided by the client must be verified from Originals.
- **Periodic Updates:** Client intimates us about any changes if any. KYC is updated to capture any changes in client details and is verified for continued compliance.

2. Client Risk Profiling

- We on-board client who are well known to director or existing client family member. No walk-in clients are entertained.
- **Risk Assessment Factors:** These include the client's source of income, financial net worth and trading experience. SEBI emphasizes that clients involved in high-frequency trading or with complex products may require enhanced due diligence. If any client falls in this parameter, then we do not accept them as our client.
- **Risk Categorization Factor:**
 - i. Clients is marked as **low risk** under following circumstances –
 1. Related or known to director or related to existing client, reputed family and good financial background.
 2. Client profile should not fall in any of the category that is debarred list of clients, PEP or related of PEP if any, NRI, client belong to high-risk country, Clients with dubious reputation as per public information availed during reference check, involved in any business of trading in illegal goods or services.
 - ii. Client with **Medium and High risk** are not on boarded as clients.

3. Anti-Money Laundering (AML) and Counter-Terrorist Financing (CTF)

- **Screening Against Sanctions Lists:** As per SEBI guidelines, intermediaries must screen clients against global and domestic sanctions lists (e.g., UN, SEBI's own debarred list).
- **Enhanced Due Diligence (EDD):** For high-risk clients or PEPs (Politically Exposed Persons), SEBI requires additional checks and periodic reviews. This includes understanding the nature of the client's business and monitoring their transactions more closely.



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We don't not accept clients who fall in these categories.

4. In-Person Verification (IPV)
 - SEBI mandates an in-person verification for all clients during the onboarding process to confirm the individual's identity. This is done physically.

5. Client Suitability and Risk Assessment
 - **Product Suitability:** the brokers should assess the suitability of products for each client. This includes ensuring clients understand the risks of margin trading, derivatives, or other complex financial instruments. We do cash delivery transaction based on credit balance in client account and securities pledged as margin. We educate the client about the risk in any product if requested by the client.

 - **Risk Disclosure:** All clients are made aware of the risks associated with their preferred trading products / derivative trading.

6. Record-Keeping and Data Privacy
 - **Retention of Records:** All KYC documents, client risk profiles, transaction records, and client interaction details be retained as per rules of SEBI.

7. Regular Reviews and Updates
 - **Continuous Monitoring:** We continuous monitoring of client transactions for unusual or suspicious activities as per SEBI norms.
 - **Policy Updates:** The client acceptance policy is reviewed and updated regularly to ensure compliance with evolving SEBI regulations.



-or SHRI BRIJ SECURITIES PVT. LTD

Keshav
DIRECTOR