

SHRI BRIJ SECURITIES PVT. LTD.

MEMBER : BSE - 454 & NSE - 09759

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CIN : U67120MH1997PTC109880; SEBI: INZ000183033

PROCESS TO OPEN A TRADING ACCOUNT OFFLINE

Here are the steps to follow for offline trading account opening:

Fill out the trading Know Your Client (KYC) / Client Registration Form and attach proof of identity, proof of address, Cancelled Cheque or bank statement as proof of bank account, tax returns as proof of income, Client master ledger or demat statement as a proof of demat account. This proof can be photocopies of appropriate documents, but it is mandatory to carry the originals with you for spot verification.

From PMLA perspective number of points are to be checked which are as follows –

1. Client's name is searched in the debarred list of clients issued by SEBI, UNSC and other component authorities at the time of receipt of KYC.
2. Nature of Business of client if any is asked and enquired with our references to ascertain genuineness of the same.

If no satisfactory reference is received or name appears in debarred list of clients then that client is not onboarded.

Risk Categorization Factor:

- i. Clients is marked as **low risk** under following circumstances –
 - a. Related or known to director or related to existing client, professionals, reputed family and good financial background.
 - b. 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 or google check.
- ii. Client with **Medium and High risk** are Trust, Ngo, Organisation receiving donation, NRI, political party and entity and individual related to political party, foreign company, FII, FPI, client from high-risk country, etc. **No client following under any of this category is on-boarded as client.**

If the client meets all our requirements as stated above then the next step is to execute the client agreement with us. It outlines your roles and responsibilities and rights as a trader/investor. Rules of the SEBI, MIs and stock broking company. This is an important document for future reference. Simultaneously CKYC and CVL KRA is checked and any modification if required is done.

Then we verify the documents and if found to fit in all aspects, the Unique Client Code (UCC) are allocated after registering the client on stock exchange platform.

The offline process can take minimum 5-7 days.



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Keshu
DIRECTOR