

SAROJ SECURITIES

309 KAN CHAMBER, 14/113 CIVIL LINES, KANPUR – 208 001

Member: The National Stock Exchange of India Ltd.

SEBI Regn No: INZ 000224427

Policy for client registration and documentation

1. For KYC registration, be sure that all the mandatory documents like Pan Card /Proof of Identity, Bank Statement, proof of address has been received and cross checked with Originals from the client along with duly filled KYC form before registration .All the necessary details/copy of proof's should be uploaded to KRA (KYC Registration agency) before upload of UCC . In case of Client opting for registration in derivative segment, proper proof of financial capacity as desired by SEBI/NSEIL should be obtained. In person verification of the client is to be done by any Partner of the firm or Head (Operations) Ajay Agrawal only. PAN details should be verified with Income Tax web site (www.incometaxindia.gov.in).
2. Before updating new client details for registering with NSEIL ensure that the latest KYC particulars of the Client is uploaded /verified to any one of the KRA database as required by SEBI.
3. All the mandatory details such as Brokerage charged, Minimum brokerage, statutory charges, Margins and exposure limit should be explained to client at the time of registration.
- 4.It should be checked every fortnight for entities debarred by SEBI for trading in Capital markets from www.nseindia.com and www.sebi.gov.in . If name of any Client registered with Saroj Securities appear in the said list, immediate action should be initiated to stop the trading of the said client for the period client has been debarred for trading.
5. All KYCs are stored Branch wise /client code wise and easily accessible. Ensure verification of the financial details of client from his bank account/demat holding/salary slips/last balance sheet/statement of assets. The copy of client registration documents along with all executed agreements should be given to client within seven days of registration and acknowledgement for the same should be obtained and preserved.

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6. The client should be made to understand risk in dealing in capital markets/Derivative markets during in person verification. After in person verification client KYC details are uploaded in UCC of NSE and concerned client should be informed about the Client Code after receiving acknowledgement for registration by NSE online UCC.

7. Any updation /addition/change in address, bank details, and DP details etc., the dealing officials should collect the written request from client along with copy of the proof and verify with originals before updation of same in back office.

8. Every Quarter 50 Clients are selected on random basis and financial details submitted by client at the time of registration are compared with the trading activity for respective clients by the compliance officer to verify whether there is any change in the client details .The Trading activities of the clients are reviewed to ensure the client does not indulge in any fraudulent or unfair trade practices. The risk profiling of the clients are reviewed periodically to ensure whether there is any change in the status of the client.

Updated as on 01.04.2021