

**POLICY ON INTRODUCTION AND REGISTRATION OF
CLIENTS**

**ADOPTED BY
GIRIRAJ STOCK BROKING PRIVATE LIMITED
MEMBER: BSE LTD
NSE LTD**



Policy on Introduction/Registration of clients

Introduction:

Giriraj Stock Broking Private Limited is a SEBI registered Stock Broker of BSE Ltd & NSE Ltd.

Basis of accepting as client:

We follow dual check registration of clients. All the client registration kits along with necessary documentary proofs are being checked with original documents at our office. Our branch managers at our outstation branches follow the same process. All these registration kits are being dual checked at our office before allotment of UCC.

The Exchanges and SEBI are issuing circulars mentioning the name of clients who has been suspended for trading in securities market. We block that name in our back office software. If any clients of same name apply for allotment of client code, our system generates a pop up at the time of making entries in the software. This ensures that no defaulted / suspended clients get registered with us.

Regular training programme is being arranged for training and orientation of front office staffs, which receive and check the client registration kit.

Only after successful upload of UCC file, the client gains the active status in our back office software. All the clients are being mapped for trading only after verification from back office software.

Following Activities are done before Registration of Clients:

Client Visit & In Person Verification: - Client is visited by our employee/Staff to prove the existence of the client and address provided by the client. IPV is conducted by our staff/employees or Authorized person/branch heads depending on the location from where the client has been sourced.

Documentary Evidence: - Proper documentary evidence is taken from clients and is verified with original to prove the actuality. Evidences are rechecked by designated person sitting at Head Office.

KYC Norms: - We always comply with the KYC norms prescribed by SEBI and exchange and comply with all the documentary requirements. KRA Check is done to ensure compliance of SEBI guidelines.

PAN: - PAN is verified with Income Tax website for its authenticity

Procedure for In-person verification of clients and maintenance of proof for the same, specifically in respect of out station & sub-broker clients



The frontline staff meets the customer face-to-face, match his photograph and Identity document and affix "In Person Verified Seal". IPV is conducted by our staff/employees or

Authorized person/branch heads depending on the location from where the client has been sourced.

In case of NRI customers whose In Person verification is not feasible, attestation of KYC documents by notary public, court, magistrate, Judge, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Indian Embassy/Consulate General in the Country where the client resides is taken. In case of Outstation clients whose IPV is not feasible then an online face to face interaction is done with the clients to ensure the existence of the client.

Dispatch of Client Registration Documents (CRD) to clients

The copy of client registration documents are sent to the customer along with a welcome letter, in which the Client ID & email Id are mentioned. In respect of existing clients, the documents and details are provided upon request from such clients.

For Giriraj Stock Broking Private Limited

Vinay Jajodia

**Vinay Jajodia
Compliance Officer**