

Client Due Diligence Policy-Ann-4

The main aspect of this policy is obtaining sufficient information about the client in order to identify who is actual beneficial owner of the securities or on whose behalf the transaction is conducted.

Verifying the client's identity using reliable, independent source documents, datas or information.

Conduct on-going due diligence and scrutiny of the account/client to ensure that the transaction conducted are consistent with the client's background/financial status, its activities & risk profile.

Client Due Diligence Process includes three specific parameters :

1. Policy for acceptance of clients.

We accept clients on whom we are able to apply appropriate KYC procedures.

We do not accept clients with identity matching persons known to have criminal background.

We are extra cautious while accepting clients of Special Category.

We do not accept client registration forms which are suspected to be fictitious.

We open client's account only on receipt of mandatory information along with authentic supporting documents as per the regulatory guidelines.

2. Client Identification Procedures is followed.

3. Suspicious Transactions identification & reporting is done by Principle Officer as an when required.

We do not have any DMA Clients.

For on-going due diligence of clients, we refer websites such as www.watchoutinvestors.com; www.sebi.gov.in; & RBI defaulters database available on www.cibil.com. We also refer Depository FIU reports received on fortnightly basis.

For Khosla Tradewise Pvt. Ltd.



Director / Authorized Signatory.

