



Bhogilal Trikamlal Securities Pvt. Ltd.

MEMBER: BSE LTD. & NSE LTD.

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ANTI MONEY LAUNDRING POLICIES

IDENTIFYING IRREGULAR TRADING REGISTRATION OF NEW CLIENTS

- Clearly establishing identity of clients, verify PAN & other documents with originals.
- Known introducer.

EXISTING CLIENTS

- . Obtaining annual financial data.

MONITORING OF SUSPICIOUS TRANSACTION

- . Sudden substantial increase in activity or transaction with no apparent economic rationale.
- Sudden substantial activity in dormant account.
- Clients transferring large sums of money to or from overseas account.

REPORTING OF SUSPICIOUS TRANSACTION

- Any report generated from above monitoring.
- Escalation through the organization to the Principal Officer & who in turn will report FIU
- Confidentiality & retention of reports.