



Bhogilal Trikamlal Securities Pvt. Ltd.

MEMBER: BSE LTD. & NSE LTD.

R-717/721, Rotunda Bldg., B. S. Marg, Fort, Mumbai - 400 023. || Tel.: 2272 1907 • Fax: 2272 2966

Policies and Procedures regarding dealing with Foreign Investors

Applicability for foreign investors for the purpose of identification of beneficial ownership of the client:

- 1) We shall monitor the compliance of the aforementioned provision on identification of beneficial ownership through half yearly internal audits.
- 2) Identify beneficial ownership and control, i.e. determine which individual(s) ultimately own(s) or control(s) the client and/or the person on whose behalf a transaction is being conducted.
- 3) Understand the ownership and control structure of the client.
- 4) We perform ongoing scrutiny of the transactions and account throughout the course of the business relationship to ensure that the transactions being conducted are consistent with the registered intermediary's knowledge of the client, its business and risk profile, taking into account, where necessary, the client's source of funds.
- 5) periodically update all documents, data or information of all clients and beneficial owners collected under the CDD process.