



**CLIENT ACCEPTANCE POLICY AND PROCEDURE FOR NEW CLIENT
REGISTRATION AND MAINTENANCE OF CLIENT ACCOUNTS**

Policy reviewed on 04-04-2023.

Policy Approved By Ajay Gangwal (Designated Director)

1. The company shall follow a policy of accepting clients through references from known persons and avoid walk in customers.
2. Before accepting a client, credentials of the clients shall be verified so as to ensure that he is not involved in drug trafficking, terrorist activities and other organized and serious crimes and that he is not a conduit for the flow of illegal money.
3. Special care shall be taken and proper prudence shall be exercised while opening accounts of Clients of Special Category which include NRIs, HNIs, Trusts, NGOs Companies having close family share holdings,
4. As a general policy the company shall not entertain as client, the Politically Exposed Persons (PEP) and persons having relation with Politically Exposed persons, Companies offering Foreign Exchange offerings, Clients in high risk countries, Non face to face clients, clients with dubious reputation as per public information.
5. As a general policy the company shall deal only with clients in Low and Medium risk categories. High Risk clients shall be allowed to trade only under authority from 2 whole time Directors and after carrying out due diligence.
6. Before allowing trading, the prospective client shall get himself registered with the company for the Exchange and market segment in which he wants to trade.
7. For this purpose he shall fill up and submit the prescribed Client Registration Form / KYC form along with self attested copies of the required documents. The format of the KYC form shall be as prescribed by SEBI and the Stock Exchanges and shall contain all mandatory documents and forms. A few non mandatory documents may also be included.
8. As a policy the company shall send contract notes and all other reports to clients electronically via e-mails and access to online back office data through website, unless otherwise specifically requested by the client. The client shall be required to provide designated e-mail id on which all contract notes and other reports/ financial statements shall be sent.
9. A copy of the complete set of KYC form and documents executed by the client and the UCC allotted to him shall be provided to the client against acknowledgement
10. Identification of the client and strict compliance with KYC norms is of paramount importance while opening accounts of new clients. Apart from this updation of client database on regular basis and review of the information furnished by him is most essential.

For Siddhartha Commodities Pvt. Ltd.

Ajay Gangwal
Director



11. In person verification of the identity of the account holder has to be done by a staff member of the company
12. Apart from documentary evidence, identity and genuineness of the client has to be established through references / introducer in compliance of PMLA requirements. All the copies of the documents submitted by the clients should be verified from the originals
13. Submission of PAN Card copy is mandatory and the name on the PAN card should be identical with the name of the prospective client in whose name the account is being opened. The particulars in the PAN card submitted by the client are to be verified from the web site of the Income Tax department

When the Form is found to be complete in all respects, permission of any of the Directors or Compliance Officer shall be obtained for opening the account and the account will be opened in the data base under the supervision of Accounts Deptt., Head and then uploaded in the database / system of the respective Exchanges. After successful upload of the data, trading shall be permitted.

SIDDHARTHA

For : SIDDHARTHA COMMODITIES PVT.LTD.

Commodities Pvt. Ltd.

For Siddhartha Commodities Pvt. Ltd.

Trade with Confidence

Director

AJAY GANGWAL (DESIGNATED DIRECTOR)