

Maverick Share Brokers Private Limited

(Member : NSE, BSE, MCX, MSEI • DP : CDSL)

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MAVERICK

ML RISK POLICY

We use following parameters for assessment of ML Risk:

1. Customer Type
2. Manner of Making Payment
3. Nature of Business Activity
4. Client Location

Procedure for assessment of ML risk is as follows:

- Clients whose identity verification seems difficult or clients that appear not to cooperate
- Asset management services for clients where the source of the funds is not clear or not in keeping with clients apparent standing /business activity;
- Clients based in high risk jurisdictions;
- Substantial increases in business without apparent cause;
- Clients transferring large sums of money to or from overseas locations with instructions for payment in cash;
- Attempted transfer of investment proceeds to apparently unrelated third parties;
- Unusual transactions by CSCs and businesses undertaken by offshore banks/financial services, businesses reported to be in the nature of export- import of small items.
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