

## Maverick Share Brokers Private Limited

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

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# MAVERICK

## **TF RISK POLICY**

### **We use following parameters for assessment of TF Risk:**

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

### **Procedure for assessment of TF risk is as follows:**

- No account shall be opened unless all the KYC Norms as prescribed from time to time by the SEBI / Exchanges are duly complied with.
- All the information as required to be filled in the KYC form (including financial information, occupation details and employment details) is actually filled in and the documentary evidence in support of the same is made available by the client.
- Moreover all the supporting documents should be verified with originals and client should sign the KYC in presence of our own staff and the client should be introduced by an existing clients or the known reference.
- The information provided by the client should be checked through independent source circulated by the Government of India and SEBI from time to time like various United Nations' Security Council Resolutions (these can be accessed at [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml) and <http://www.un.org/sc/committees/1988/list.shtml>).