



CLIENT ACCEPTANCE POLICY BY AMBALAL SHARES & STOCKS PRIVATE LIMITED

(POLICY CREATED ON 05.04.2025)

Ambalal Shares & Stocks(P) Ltd

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City, Old Bye Pass Road, Vellore - 632004.
Phone: +91 416 2227751-55

**SEBI Reg No : Ambalal Shares & Stocks
(P) Ltd(ASSL) - INZ000219137;**
Exchanges: NSE: 14329 / BSE: 6406 /
MCX: 45965; CDSL - IN-DP-402-2019

Prepared By

Mr. Jawarilal Karan
Compliance Officer

Approved By
Mr. Jawarilal Jain
Designated Director

CLIENT ACCEPTANCE POLICY

- **Client meeting:** Clients must be met in person.
- **KYC:** Complete KYC is required for all clients.
- **Account name:** Accounts cannot be opened in fictitious or anonymous names.
- **Risk profiling:** Clients are classified into low, medium, and high risk categories.
- **Suspicious transactions:** Unusual activity, sudden dormant account activity, and sudden high volume or value transactions are reported.
- **Account opening:** Clients must complete the registration process and submit the required documentation.
- **Aadhaar:** Only residents of India can open individual accounts using Aadhaar, and the mobile number must be linked to the Aadhaar.
- **Trading activity:** Trading activity is checked for fraudulent activity and money laundering.
- **2FA:** Customers are offered strong 2FA (TOTP) on their accounts.
- **Nudge system:** The Nudge system blocks suspicious trades.

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