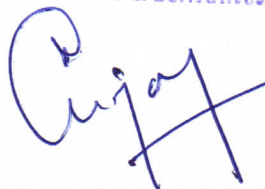


TRADEWINDS
trade with vision

Client Registration Policy

- Client is registered only after receiving KYC, client registration documents & risk disclosure documents and all other documents as prescribed by SEBI / Exchanges duly completed and filled up with all supporting. Further, the voluntary documents, if acceptable to the client, will be specifically signed by the client.
- Client is registered only after verification of PAN from the website of Income Tax Department. Also verify that the prospective clients name do not appear in SEBI ban / debarred list.
- Documents given by the clients are verified from original documents.
- In person verification by the company employee before account opening.
- Financial detail is compulsory filled in KYC to know the soundness of client backed by relevant documents as far as possible. However Income tax return should not be the only criteria. Client's social status, his past dealings and net-worth should also be considered before allowing him to trade.
- The client data is immediately uploaded on CKYC and KRA portals. If client already exists on the portal, the clients data is downloaded from CKYC and KRA and compared with the details provided by the client. If the data matches, the data downloaded is kept on record. However, if the data doesn't matches or the data is incomplete on the portal, the updated and complete details are uploaded on CKYC and KRA through modification mechanism.
- The client data is also uploaded on the Exchange UCC immediately.

For Trade Winds Commodities & Derivatives Pvt. Ltd.


Director