



SAURASHTRA  
CAPITAL  
BROKING  
PVT.LTD.

Member: BSE, NSE, & CDSIL

Formerly known: SAURASHTRA CAPITAL SERVICE PVT. LTD.

## Policies and Procedures regarding dealing with Foreign Investors

Applicability for foreign investors for the purpose of identification of beneficial ownership of the client:

- 1) We shall monitor the compliance of the aforementioned provision on identification of beneficial ownership through half yearly internal audits.
- 2) Identify beneficial ownership and control, i.e. determine which individual(s) ultimately own(s) or control(s) the client and/or the person on whose behalf a transaction is being conducted.
- 3) Understand the ownership and control structure of the client.
- 4) We perform ongoing scrutiny of the transactions and account throughout the course of the business relationship to ensure that the transactions being conducted are consistent with the registered intermediary's knowledge of the client, its business and risk profile, taking into account, where necessary, the client's source of funds.
- 5) periodically update all documents, data or information of all clients and beneficial owners collected under the CDD process.

Thanks and Regards,

SAURASHTRA CAPITAL BROKING PVT.LTD.

DIRECTOR

Last review dated : 30<sup>th</sup> September, 2025

39-Great Western Building Compound, Bake House lane, Fort, Mumbai-400 001

Tele No: - 022 4056 4056 URL: saurashtracapital.in Email: info@saurashtracapital.in

Back Office: 29-A 1<sup>st</sup> Floor, Madhu Estate, Pandurang Budhkar Marg, Next to IKEY, Worli, Mumbai - 400013

CIN No: U65990 MH 1994 PTC 077691