

Process of client risk profiling and proposed KYC Procedure

Clients will be classified as low risk appetite, medium risk appetite and high risk appetite based on the score obtained by answering the following questionnaire. Once, the score is obtained client will be offered services which suits his/her risk appetite. The classification of the services is also mentioned below.

Questionnaire for risk profiling of the client

1) Full Name :

2) Mobile no :

3) Email :

4) PAN no :

5) Date of birth :

6) Gender :

- Male
- Female

7) What is your Age Group? :

- Under 35
- Under 45
- 46-55
- 56-60
- 60+

8) Investment Goal :

- Capital Appreciation
- Regular Income
- Capital Appreciation and Regular Income

9) Proposed Investment Amount? :

- 1 lacs
- 1-2 lacs
- 2-5 lacs
- 5 lacs

10) Gross Annual Income details? :

- Below Rs 1 Lac
- 1-5 Lac
- 5-10 Lac
- 10-25 Lac
- 25 Lacs

11) (A). Primary Source :

- Salary
- Business

11) (B). Secondary Source :

- Royalties
- Rental
- Dividend
- Other Speicify

12) Market Value of portfolio held :

- 1 Lacs
- 1-2 Lacs
- 2-5 Lacs
- 5 Lacs

13) Investment Experience :

- 3 Years
- 3-5 Years
- > 5 Years

14) Would you invest where a small return is earned associated with small risk instead of a high return associated with high risk? :

- Strongly prefer
- Prefer
- Indifferent
- Do not prefer
- Strongly do not prefer

15) When market is not performing well would you like to invest in more risky investment instead of less risky investment to earn high return? :

- Strongly prefer
- Prefer
- Indifferent
- Do not prefer
- Strongly do not prefer

16) High risk is associated with high return, Medium risk is associated with medium returns and low risk is associated with low returns? What risk can you bear (not prefer)? : High

- Medium
- Low

17) What is the duration of investment you are looking forward to keep invested? :

- Short term Positional (from 1 month to 6 months)
- Long term Positional (more than 1 year)
- Intraday

18) In which of the following market segments have you traded previously? :

- Commodity
- Stock
- Derivatives Stocks
- Forex
- All

19) What is your experience with equity investments ? :

- Extensive experience
- Moderate experience
- Very less experience
- No experience

20) What is your experience with Commodity investments ? :

- Extensive experience
- Moderate experience
- Very less experience
- No experience

21) What is your experience with Forex investments ? :

- Extensive experience
- Moderate experience
- Very less experience
- No experience

22) How many dependents do you financially support ? :

- None
- Between 1-3
- 4+

23) What is the size of your emergency fund ? :

- Do not have
- < 1 month income
- 1-3 months income
- 3-6 months income
- > 6 months income

24) What is your experience with investments in past ? :

- Very Good
- Good

- Moderate
- Bad
- Very Bad

25) What percentage of monthly income is allocated to pay off debt [all EMIs]? :

- None
- Between 0% -20%
- Between 20% - 35%
- Between 35% - 50%
- > 50%

26) Occupation (please select the appropriate) :

- Private sector service
- Public sector service
- Government sector
- Business
- Professional
- Agriculturist
- Retired
- Housewife
- Student
- Dealer
- Others

27) Are you any of the following, or are directly or indirectly related to any of the following :

- Civil Servant,
- Politician,
- Current or former head of state,
- Bureaucrat (Tax authorities, Foreign Services, IAS etc),
- Current or former MP/MLA/MLC,
- Connected to Media,

- Connected to any company/promoter group/ group of companies listed on any stock exchange