

UPSE SECURITIES LIMITED

'PADAM TOWERS', 14/113, CIVIL LINES, KANPUR-208 001

Phone: 2338115, 2338074 Fax: 91-0512-2338175/2338220

USL/2010-11/ 09

21.06.2010

NOTICE TO SUB-BROKERS

Sub: Anti Money Laundering (AML) Standards/Combating Financing of Terrorism (CFT)/Obligations of Securities Market Intermediaries under Prevention of Money Laundering Act, 2002 and Rules framed thereunder.

Sub-Brokers are advised to take note that SEBI, vide Master Circular No.ISD/AML/Cir-1/2010 dated 12.02.2010 issued consolidated requirements/obligations to be fulfilled by all registered intermediaries with regard to AML/CFT.

Now, SEBI vide circular No.CIRSD/AML/2/2010 dated 14.06.2010 has informed that, in addition to the obligations contained in the aforesaid Master Circular, the intermediaries are also required to fulfill additional requirements. Point No.5.5(a) of the Master Circular inter alia provides that all registered intermediaries shall proactively put in place appropriate risk management systems to determine whether their client is a Politically Exposed Person (PEP).

In view of above, sub-brokers are advised to inform us latest by 15.07.2010, on the enclosed format, whether any of their client, client's family members or close relatives is a PEP.

for UPSE SECURITIES LIMITED


(ALOK TULSYAN)
C.E.O (OFFICIATING)

C.C. to: M.D.- UPSE,
G.M.(O)- UPSE,
Surveillance – UPSE,
EDP – BOLT – for flashing on system and putting on website,
Margin – BOLT,
Pay-in/Pay-out Funds – BOLT, Pay-in/Pay-out Securities – BOLT
Notice Board

From :

Date : _____

Sub-Broker : UPSE Securities Limited
Padam Towers
14/113, Civil Lines
Kanpur

To,
M/s. UPSE Securities Limited
Padam Towers
14/113, Civil Lines
Kanpur

Dear Sir,

Ref: Notice dated 21.06.2010 regarding information of Politically Exposed Persons (PEPs) with reference to Anti Money Laundering (AML) Standards/Combating Financing of Terrorism (CFT)/Obligations of Securities Market Intermediaries under Prevention of Money Laundering Act, 2002 and Rules framed thereunder.

1. Whether any of our client is a PEP Yes / No ☐
If yes, details of each such client/PEP in the following format :-

Name :
Client Code :
Position :
PAN :

2. Whether any of our client's family members or close relatives is/are PEPs Yes / No ☐

If yes, details of each such client's family member/close relative (PEP) in the following format:-

Name of client :
Client Code :
Details of family member/ :-
Close relative (PEP)
Name :
Address :
Position :
PAN :
Relationship with client:

Yours faithfully,

Signature of sub-broker with seal