

## ANNEXURE

### STEPS TO BE FOLLOWED IN RESPECT OF TRANSACTIONAL ALERTS

Alerts Received

```
graph TD; A[Alerts Received] --> B[Review criteria]; B --> C[Forwarding alerts with comments];
```

TM to review the alerts based on

- a. Type of alert downloaded by the Exchange
- b. Financial details of the client
- c. Past Trading pattern of the clients/ client group
- d. Bank / Demat transaction details (The period for such statements may be at least +/- 15 days from the date of transactions)
- e. Other connected clients in TM's UCC (common email/ mobile number/ address, other linkages, etc.)
- f. Other publicly available information

If any concern seen post inquiry/ receipt of explanation from client, TM to forward the alerts to the Exchange with his comments and any documents deemed relevant

**Note:** In case of any adverse findings / comments, the Trading Member shall send its comments to the Exchange within 45 days of the alert generation. The Trading Member may seek extension of the time period from the Exchange, wherever required.