

## **Policy on pre funded Instruments and Electronic Fund Transfer**

Prefunded instrument like Demand Draft / Pay order / Banker cheque of third party will be not accepted.

If client makes payment by any of these instruments upto Rs. 50,000/- than it should be confirm with client that payment received is debited to his/her designated bank account. And if the amount exceed Rs.50,000/- than payment received is debited to his/her designated bank account, proof of the same is to be obtained from client.

Further if clients transfer his fund directly i.e.ECS or RTGS or any other electronic mode, then it should be verify that payment received is debited to his/her designated bank account. If payment is not received from the said designated bank account than such fund will be marked and tansfered as suspens and after receiving necessary documents from client it will be credited to his/her account.

## **POLICY FOR CLIENT CODE MODIFICATION**

**(Applicable for all exchange/segment)**

### **On Line Modification:**

- Genuine punching errors in client codes while placing orders shall be allowed to be modified.
- Client code modification facilities shall be disabled from all the dealer terminals.
- Further as per the new SEBI circular for client code modification policy, modification will allow only up to the post closing session. Afterward it will not allow modifying the client code for any reason whatsoever.
- Client code modification shall be carried out only from the admin terminals located at H.O. surveillance desk by Mr. Dhyanesh S. Shukla, Director.
- While carrying out code modification, genuineness of the punching errors shall be verified against corroborative circumstantial evidences like similarities of instances given below.

Punching error or typing error of client codes

Trades enter for wrong client due to communication error.

Modification with in relative code. (relatives mean as define in schedule 1A of companies act, 1956)

Non Institutional or institutional trades modified to broker error account.

- Complete records of daily online trade modifications shall be maintained in soft form.
- With a view to minimize errors made by dealers of the trading members, the Trading member will periodically review the trades flowing to the 'Error Account'.

## SYSTEM WRITE UP

Company do for the purpose of better internal control and management, if it so desires, also maintain the following records relating to its business

- a. Trade confirmation slips as obtained from the trading system of the Exchange
- b. Record of all statements received from the settling agencies and record of all correspondence with them
- c. Order Book reflecting the following:
  - i. identity of person receiving the order
  - ii. date and time of order received
  - iii. name of person placing the order
  - iv. name of Constituent, description and value of securities to be bought and sold
  - v. terms and conditions of the order stating particularly price/rate limit or price/rate related instructions and time limit on the order (if any)
  - vi. the TWS/IML/ CTCL order number as per the trading system of the Exchange or Trading Member order number as the case may be
  - vii. any modification or cancellation thereof including cases when it is cancelled by the system or cancelled due to maturity of an instrument
  - viii. if executed, the price/rate at which executed and to the extent feasible, the time of execution or cancellation and trade number as per the trading system of the Exchange.
  - ix. reference number of the contract issued in case of executed orders
  - x. orders entered pursuant to the exercise of discretionary power shall be so designated
  - xi. entries of orders shall be serially numbered.

## **Client Acceptance of Policies and Procedures**

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.

## **ORDER ACCEPTANCE POLICY FROM CLIENT**

We accept order of buy/sell from client in it's own / authorized person writing and given at our designated trading desk only.

We also accept order given by client / authorized person verbally in person or given over phone if specifically authorized by client.

We are not responsible for non execution of full or partial order due to communication failure or system problems or slow or delay response delayed from system.