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Procedures and policies followed by the company

We are following the procedure for different areas of operations as under:

This procedure has been explain to all concern dealing officials and no deviations are permitted at their level if any deviations required they have to obtain approval from the chairman.

1. Client Registration and documentation and updations

The client approaches for account opening, the due diligence of the client is carried out by the executive directors at head office

The required copies of documents like PAN Number, address proof and bank details DP details etc. are collected and verified with original and originals are returned back to the respective clients. PAN numbers is verified to Income Tax web site. The action taken report data is checked before activating the client. Further in person verification is carried out by concern officials mentioned above. The client is made to understand risk in dealing in capital market during in person verification.

Then only the client is activated in UCC and concern client is informed about the Client ID and make to understand the risk dealing in the capital market.

Any updations in address, bank details , DP details etc. the dealing officials collect the proof and verifies with originals and update in back office and this papers are kept with respective KYCs .

No client is entertained if he walkes in for client registration We verify the financial details from his bank account and copy of latest income tax return.

We have adopted the concept of maker and checker while dealing with KYC in order to avoid any mistakes.

The copy of client registration is given to the client and ack. Is obtained.

We do not offer any promotional schemes nor offer any thing free to the clients.

Total number of active clients are 400

2. Sales Policies followed by the member:

