SMK SHARES AND STOCK BROKING PVT. LTD.

Maximizes your money value

Member : Bombay Stock Exchange Ltd., Clearing No.: 777
Member : National Stock Exchange of India Ltd., Clearing No.: 09860

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EMPOWERING INVESTORS
A SEBI Initiative

CIN:U99999MH1997PTC112090

Dealing room policy for institutional desk

SMK share and stock Broker is a reputed stock broking firm empanelled with LIC institutions since several years. All dealers are expected to strictly abide by the code of conduct applicable to a stock Broking entity

1) All the institutional orders shall be accepted only by the Director (s) of the company on the recorded telephone lines.
2) Director shall forthwith give orders to the dealers for executing the said orders.
3) Dealers shall ensure that orders are placed as soon as possible without any delay.
4) The Director shall confirm the completion of order execution to the institutional client immediately upon execution of the order
5) Dealers are forbidden to keep mobile phone on the dealing desk
6) Dealers are forbidden to trade in derivatives market in their own account or the account of their dependent family members
7) Dealers are permitted to take delivery based position in their personal account or the account of dependent family members in cash market after prior approval of the management. Intra day trading in cash market is prohibited in personal account or the account of dependent family members.
8) Dealers shall be required to submit annual declaration confirming adherence to the dealing room policy
9) Dealing room shall be under surveillance of CCTV
10) No dealer shall accept gift or souvenir from clients or their staff members
11) No dealer shall give gifts or souvenir to any clients or their staff members
12) Dealers are expected to maintain highest standards of honesty and integrity while serving the clients
13) Any violation of the dealing room policy shall be dealt in the strictest possible manner including termination of service

For SMK SHARE AND STOCK BROKERS PRIVATE LIMITED

DIRECTOR

(Last reviewed on: Dec 25, 2025)

SMK SHARES AND STOCK BROKING PVT. LTD. MUMBAI