



## SMK SHARES AND STOCK BROKING PVT. LTD.

Member : Bombay Stock Exchange Ltd., Clearing No.: 777

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

Regd. Off.: 224, P.J. Tower, 2nd Floor, Dalal Street, Fort, Mumbai-400001. Tel.: 22721175 / 76

Admn. Off.: 617, Palm Spring Centre, Above Croma, Near D-Mart, Link Road, Malad (W), Mumbai-64.

Tel.: 2880 1777 / 2888 1777 • Fax : 4003 0776 • Email : dsk777@rediffmail.com



CIN:U99999MH1997PTC112090

i. Policies (For e.g. Policy on:

1. PMLA
2. RMS
3. Internal control
4. Acceptance of Prefunded instruments.
5. Out sourcing of any function. ( part of internal control)
6. Online client code modification with board resolution/management approval. ( part of internal control)
7. Prevention of circulation of unauthorized information by staff
8. Surveillance policy with board resolution.
9. Policy for conflict of interest.
10. Policy for inactive clients & Granting of further Exposures
11. Policy for NISM VII series certification.
12. Treatment of Inactive Clients.
13. Policies regarding the use of facsimile/ scanned signatures for Physical contract notes.
14. Client on boarding policy – only Institutional clients settling trades through Custodians shall be on boarded.
15. Referral Policy – NIL no referrals
16. Any other policy etc. – Policies and procedures
17. Policy for GTT/GTC orders

For SMK Shares and Stock Broking Pvt Ltd.

Dinesh Shyamlal Khemka

(Director)

