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

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Sub :- Policy on Acceptance of Pre-funded Instrument

Defination of Pre-funded Instruments :

Pre-funded instrument includes Pay Order, Demand Draft, Banker's cheque

Applicability of Policy :

DON'T receive any type of prefunded instrument /security from any client. Route all transactions mandatory through their appointed Custodians.

Checks, Balance & certifications to be observed :

Pre-funded instruments are to be accept the from the client only if the same are accompanied by the name of the bank account holder and number of the bank account debited for the purpose, duly certified by the issuing bank. The mode of certification may include the following:

- Certificate from the issuing bank on its letterhead or on a plain paper with the seal of the issuing bank.
- Certified copy of the requisition slip (portion which is retained by the bank) to issue the instrument.
- Certified copy of the passbook/bank statement for the account debited to issue the instrument.
- Authentication of the bank account-number debited and name of the account holder by the issuing bank on the reverse of the instrument.

In addition to the above an audit trail of the funds received through electronic fund transfers to be maintained to ensure that the funds are received from the clients only.

All the staff members are requested to follow the above internal control guidelines without fail.

For SMK Shares and Stock Broking Pvt Ltd.

Dinesh Shyamlal Khemka
(Director)

SMK SHARES AND STOCK BROKING PVT. LTD. MUMBAI