

POLICY FOR PREFUNDED INSTRUMENTS

As per directives of SEBI / FMC and the Exchanges and in compliance with provisions of Anti Money Laundering guidelines and policy, Cash transactions are not permitted at all.

The funds shall be received from the clients from the same bank account, which is mentioned in the client registration form. Receipt of funds from third parties or pre funded instruments such as Demand Drafts etc. for credit to the account of the client is not permitted.

Electronic Fund transfer can be accepted from the client, an audit trail to ensure that funds are received from respective client only has to be maintained. Necessary details may be collected from banker at which the amount is received.

Receipt of funds from another bank account of the client can be permitted provided proof of Bank account details of the account from where funds are being transferred, is furnished to the satisfaction of the company.

The payments shall be released to the clients only by “Account Payee only” cross cheque or by transfer to his designated bank account as per Client Registration Form.

The securities for Pay in should be received from the same demat account which is mentioned in the Client Registration Form. Receipt of securities from third party accounts for Pay in against obligation of the client is not permitted

Receipt of securities for pay in from another demat account of the client can be permitted provided proof of Demat account details of the account from where securities are being transferred, is furnished to the satisfaction of the company and such account is added to the list of designated accounts.

The clients having demat accounts with us are allowed to sign power of attorney in our favour (as a Trading Member) for automatic Pay in of Securities against settlement obligations in NSE/ BSE or any other Exchange of which the company may be a member. Such POA shall be duly registered in CDSL system and instructions carried out accordingly.

In case of default in meeting funds or securities pay in obligations, the payout of securities shall be with held in a separate Beneficiary account of the company which shall be released only for Pay in against subsequent sale or after receipt of the money from the client. The shortages in Securities Pay in whether internal or towards the Exchange shall be dealt with as per rules of the Exchange

Clients trading with us have to pay funds by cheque in the name of “ Shri Shyam Kripa Investments Pvt. Ltd., or Shri Shyam Kripa Investments Pvt. Ltd., as the case may be and transfer securities to the designated pool accounts of the company as applicable to the respective Exchange and market segment.

The list of Client’s Bank accounts and Pool accounts of the company as applicable to various Exchanges and Market Segments is as under:

