

### **Policy for Client code change**

1. Client code modifications will be done only for genuine cases where it is due to:
  - 1) Error due to communication and/or punching or typing such that the original client code/name and the modified client code/name are similar to each other.
  - 2) Modification within relatives ('Relative' for this purpose would mean as defined under Companies Act, 1956).
2. In spite of the above if a wrong code has been entered which is not there in our system or UCC has not been registered then kindly inform RMS department who will assist you in changing the wrong client code to a code called **'ERROR'**. Square off will be done in this 'ERROR' code and profit or loss will have to be born by the dealer\sub-broker.
3. The dealer or sub-broker can then place order in correct client code. No transfers of profit or loss would be made to a client code from 'ERROR' code.
4. Management reserves the right to hold the shares in ERROR account if market is unfavorable or as per internal research team advice.
5. All client code modifications requests should be entered in our internal system Intra. If client code request is received after trading hours the same procedure would be followed.
6. Penalties levied by exchanges at actuals would be recovered from concerned dealer\sub-broker.
7. The above policies are liable to be modified as per any clarification or revision of rules by exchanges.

By order

Compliance department.

Approved by

Managing Director