

CLIENT CODE MODIFICATION POLICY

Client code modification means modification of client code after the execution of trade. The stock exchange provides a facility to modify the client code to rectify an error. Further only the genuine errors will be modify and after being transferred to 'Error Account'. The modification should be done within the Stock Exchange guidelines. The modification of client code is to be done only in exceptional cases and not in routine case.

The following trades shall be modify/ allowed to be modified, shall be treated as genuine error and transferred to Error Account.

- 1) Punching error / typing error of client codes due to any genuine error or mistake in order entry, while punching the order, by any of dealer.
- 2) Trade entered for wrong client due to any miscommunication from the client /authorized representative of the client.
- 3) Client code/name and modified client code/name are similar to each other but such modifications are not repetitive.
- 4) Family Code (spouse, dependent parents, dependent children and HUF) V. Institutional trades modified to broker error/pro account.

The Board and Management have approved under mention policy in this regard and instruct all the office bearers to follow it strictly.

I (a) To control the punching error, it has been decided that client code mapping will be restricted in trading terminals.

(b) To maintain Client Modification register for recording the errors.

(c) To review periodically list of inactive clients for marking in CTCL Surveillance system.

II. Dealers are advised to hear patiently the client code /scrip name and reconfirm the same to their best possible efforts before placing order into the system.

III The Compliance officer is advised to analyse the mistake and to take/ implement corrective measures to their best possible efforts to minimize.