

POLICY ON CLIENT CODE MODIFICATIONS

1. The modification to the client code is to be done only in exceptional cases and not as a routine one.
2. The reason for modification has to be ascertained and analyzed and genuineness is to be established and also its impact on the clients should be studied before the modification.
3. Normally as a principle, other than for punching errors, no modification to the client codes is allowed.
4. Therefore it is imperative that the issue should be reported to the Compliance department /Director and only with their approval, the modification are carried only after being satisfied that it is genuine, and the same is required to be done to protect the interests of the clients
5. Hence the facility to modify the client codes are available only at the senior level and are not given to the branches/franchise.
6. Training program is conducted for all the Dealers and they are explained how code modifications can be misused and what steps should be taken to avoid the same. It is also explained that code modifications should not be encouraged to the clients except for cases like ‘punching errors’/‘typing errors’.
7. A record is maintained for recording all the client code modifications with details like error code, correct code, scrip name quantity, client name, along with the receipted copy of the respective exchange (*as a proof of receipt*).
8. Details of personnel authorized to make the modifications:

Sl. No.	Name	Designation
1.	Sri Narain Prasad Dalmia	Director
2.	Sri Asim Ranjan Manna	Director
3.	Sri Ramzanali Fidahussain Jetha	President – Institutions