

AMBIT BROKING SERVICES PRIVATE LIMITED

POLICY ON THE APPLICABILITY OF PRE-FUNDED INSTRUMENTACCEPTANCE POLICY

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PRE-FUNDED INSTRUMENTACCEPTANCE POLICY

Section I - Purpose

Acceptance of Prefunded Instrument for trades on Exchanges (As per SEBI circular Number SEBI / MRD / SE / Cir-33 / 2003 / 27 / 08 dated August 27, 2003 and CIR/MIRSD/03/2011 dated June 9, 2011).

Section II - Applicability:

Head office, all the branches of the Company and all the Authorised Person of the company.

Section III - Policy & process:

We do not encourage clients for pay-in of funds through pre-funded instruments, such as Demand Draft(DD)/ Pay Order as routine item. These pre-funded instruments are accepted from the clients in cases like:

- when client wants to create position immediately;
- If the client does not have an account in the bank in which the company has accounts.
- If the client wants to create a position immediately and has no other way of transferring funds.
- If the Bank account of the client is in a cooperative bank, which may take some time for the cheque to be cleared.
- If the company Bank accounts clearing branch is not available in the city/village where the client has his bank account.

In cases where DD are accepted following norms are applied:

If the aggregate value of pre-funded instruments is less than Rs. 50,000/- per day per client, we accepts the instruments only if the same are accompanied by the Self Declaration stating that the amount of Demand Draft is out of his own funds which belongs to him only and If the aggregate value of pre-funded instruments is Rs. 50,000/- or more, per day per 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 along with the self declaration. The mode of certification may include the following:

i. Certificate from the issuing bank on its letterhead or on a plain paper with the seal of the issuing bank.

ii. Certified copy of the requisition slip (portion which is retained by the bank) to issue the instrument.

iii. Certified copy of the passbook/bank statement for the account debited to issue the instrument.

iv. Authentication of the bank account-number debited and name of the account holder by the issuing bank on the reverse of the instrument.

Section IV- Approval

Any request for pay-in of funds through pre-funded instruments shall be approved by Operations Head or any designate and by the Business head.

Section V – Review

The policy will be reviewed annually or as and when any new circulars issued by the SEBI or relative exchanges, whichever is earlier within one month of the same.