



M/s. Dhyan Stock Broking Pvt. Limited.

DOCUMENT OF INTERNAL CONTROL:

The company has well defined and written policy document on internal controls of various areas of operation. The various internal controls are documented here under:

SAUDA / ORDER PLACEMENT

The company has a policy to allow order placement to its clients only after compliance of account opening formalities and KYC norms.

The orders or sauda is being placed by the clients generally over and across the counter by them personally. However, telephonic orders have been accepted from the clients, who has long standing business relationship and having undoubted and undisputed integrity.

ACCESS TO THE SAUDA TERMINALS

The sauda / orders are accepted by the authorized sauda terminal operators of the company only as per the policy of the company. The access to the sauda terminal is strictly by pass word. The unauthorized access to any person is strictly prohibited. Sharing of pass word by authorized terminal operator shall amount to breach of code of conduct and shall attract disciplinary action.

EXECUTION / CONFIRMATION OF SAUDA

The execution of contract is immediately informed verbally to the client present over the counter. In case of telephonic sauda, the SMS confirmation of execution is being sent confirming the execution at the end of the day. The clients are offered a web browsing service and server access services for confirmation of sauda at the

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end of the day. The digital contract notes are up loaded at the end of the day for allowing clients to ensure the sauda executed during the day. The clients have server access for 3 months from the date of execution of sauda.

PAY IN / PAY OUT OF SETTLEMENT

The bankers' details during the pay in / pay out is being checked by the system and cheques are accepted only from the bank which is disclosed in the account opening forms and KYC documents. The company does not hold any security and follow practice of direct payout to the clients through facility provided by the Exchanges.

PAY IN / PAY OUT OF SHARES

The system has in built controls to monitor the delivery and acceptance of shares during pay in and pay out. The system accepts shares during pay out and delivers the shares during pay in only from those DP accounts, which is mentioned and disclosed in the account opening form and KYC documents of respective clients.

NO NETTING ACROSS SEGMENTS OR EXCHANGES FOR A CLIENT

As member of BSE as well as NSE, the company do not pass any financial JV entries for adjustment of funds across exchange or across segments of a client as it follows Segment wise settlement of funds separately.

Moreover, the company also does zeroitiation of all client funds on every quarter end client wise segment wisewithout any cross adjustment.

Last review dated : 29th November, 2019

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