POLICY CLIENT CODE MODIFICATION

THE MAIN OBJECTIVE OF THE POLICY IS TO DEAL WITH MODIFICATION OF CLIENT CODE AFTER THE EXECUTION OF TRADE AND TO CREATE AWARENESS AMONGST THE RELEVANT STAFF SUCH AS DEALERS, BRANCH IN CHARGE, AND AUTHORSIED PERSONS.

TERMS USED IN THIS POLICY

1.GENUINE ERRORS: Errors 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 and modification within relatives. (Relative' for this purpose would mean 'Relative' as defined under Companies' Act, 2013)

2. MODIFICATION OF CLIENT CODES: Modification in client codes to that of Error Code', which will be subsequently closed out/liquidated and not shifted to any other client code.

3. ADVISED: Dealers are advised to hear patiently the client code/ scrip code and reconfirm the same to their best possible efforts before placing order into the system. The dealer should not yield to any pressure or sense of urgency shown by the client in placing the order.

CRITERIA FOR GENUINE ERROR

The following instances would be considered as the genuine errors:

1.Where the Actual Client code and wrongly punched Client code are similar.

2.Error occurred due to any miscommunication from the client/authorised representative of the client.

3.Error due to wrong entry of client code among the family members of the client.

PROCEDUFE FOR CLENT CODE MODIFICATION

1. Any trade generated due to a genuine error shall be modified only into the Error Code'. The said position shall be subsequently liquidated / closed out. The new order shall be punched in the original code.
2. The occurrence of such incident shall be first reported to the compliance officer / operations in charge at the Head Office. The modification shall be

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carried out only at the head-office after verifying the SEBI / Exchange directives issued from time to time.

3. The compliance officer/operations in-charge shall review the Error Account Trades on daily basis.
4. A separate register has been maintained to record such occurrences.
5. An error account has been created in name of Vikash Stock Broking Services Pvt. Ltd.
6. The access for the client code modifications is given only to the operations in -charge at Head Office. Any deviations from there shall be escalated to the compliance officer

7. The client code modification shall be done only in exceptional cases. For Eg: If the order has been wrongly punched in "abc-90033" instead of "xyz-90033" then the same will be modified after obtaining approval of any of the Designated Directors of the Company and in their absence that of Compliance Officer subject to the process as may be prescribed by SEBI/Stock Exchange.

The Penalty or fine, if any LEVIED ON THE Company for any wrong trade due to any miscommunication from the client shall be borne by the client.

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