

Policy for Modification of Client Code

CASE (A): IN CASE DEALER ENTERS WRONG CODE:

- a) The dealer enters a fresh order with correct client code
- b) The dealer Squares-up the wrong code transaction in “ERROR” account.
- c) The dealer sends a modification request to the directors to change the wrong code transaction into “ERROR” account. The directors approves the code modification request with “WARNING” the dealer not to repeat the mistake in future.
- d) The reason code is submitted in ENIT on T+1 day

CASE (B): IN CASE DEALER ENTERS WRONG CODE WHICH IS SIMILAR IN CODE/NAME WITH THE RIGHT CODE OR IT IS TO BE MODIFIED WITHIN RELATIVES

- a) The dealer takes approval of the directors in writing for such code modification
- b) If not approved it is treated as per case (A).
- c) If approved the trade is modified and the dealer is issued “WARNING” the dealer not to repeat the mistake in future.
- d) The reason code is submitted in ENIT on T+1 day