



SENDING CONTRACT NOTES, DAILY MARGIN STATEMENT QUARTERLY STATEMENTS OF ACCOUNTS TO THE CLIENTS:

Issuance of contract notes (Physical and ECN)

Physical Contract Notes :

All physical contract notes are sent to the clients by courier/speed post. The PODs for all the contract notes sent are received from the couriers on a monthly basis

Undelivered contract notes by courier are sent second time by post as they have a better reach and can go to interiors and deliver.

Wherever the contracts come undelivered from post, we call up the customer and inform them that the contracts are not getting delivered for various reasons. If the customer informs that he/she has changed their address, then we send them the modification form and tell them to sign and send back along with the valid proof. This way the correct address gets updated and the contract notes get delivered at the actual address.

Electronic Contract Notes (ECN):

ECN are sent to the Clients who opted for ECN. There is option in the account opening form where customer has to opt for either physical or electronic contract notes. If customers opt for electronic, then they are sent the digital signed contract note at their email id. The ECN file is generated from the back office software and customers are sent digitally signed contract notes to the email id mentioned in their KYC and which is captured in the client master.

The log report thus generated shows whether the contract was delivered successfully or it got bounced. Wherever the logs show as bounced, we send the physical contract notes to such customers and maintain the PODs of such contracts sent.



Northeast Broking
Services Limited

Issuance of Quarterly Statement of Accounts & Securities Ledger

Quarterly Statement of Accounts & Securities are generated from the back office software after all the entries for the quarter are completed.

The statements (Accounts and Securities) are sent by email to clients having an email id registered with us. Clients without email ids are sent physical statements by courier. The logs for the email statement of accounts are maintained by the accounts team and the logs for the securities statement are maintained by the Settlement Team. The PODs for the physical statements (Accounts and Securities) are maintained by the Accounts Team.

Statements returned by courier under as No service/Door locked are resent by Post.

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