



RECORD MAINTENANCE

We maintain an efficient system of filing. Copies of all documents directly affecting operations will be preserved. All documents on the basis of which data is entered /updated in the system will be preserved. All correspondence between member and Clients/SEBI/ Exchanges/Depositories/Clearing Members/ROC/ MCA /FIU/IT dept/Legal/Bank/ R & T agent/Issuers/Companies and other etc will be preserved. In case of records being maintained in electronic form, provisions of relevant Act and SEBI/NSE/BSE/NSDL /CDSL requirements shall be followed. All the records are maintained for a minimum period of five years. But the PMLA related documents are preserved for a period of 10 years.

Client Order Receipt and Execution:

All orders routed through NEAT/CTCL & NOW are monitored by our risk department and after their confirmation about client's financial and margin status order get executed.

The dealers take utmost care while executing the trades of the clients regarding the accuracy of Client Code, Quality and Price etc. The orders from the client's are promptly executed by the dealers and the oral confirmation of the placement of the orders is immediately provided to the clients.

Moreover, only registered clients are allowed to enter the dealing room for placing the orders

The clients are divided into groups among the dealers and Authorised Persons at head office level, so that particular dealer can serve a particular group of clients which helps dealer to understand the client investment strategy in a better way & serve them accordingly. The orders are entered instantly by the dealer on the instruction given by the client .On execution of valid order into trade, dealers confirm the trade with the client so as to avoid any future dispute.

At the end of the trading hours, the dealer informs the clients about the execution of the orders placed by the clients. Also a trade confirmation SMS message covering details of all the trades executed is sent to client after completion of trading hours on registered Mobile No of the Client.

We have telephonic recording system for receipt of order and maintained the said record in machine and increased the hard disk capacity to store increase data and also transfer the same record in tape and maintained the said tape in safe custody forever.
