



ALLOTMENT, SURRENDER TRADING TERMINALS

Allotment is done to authorized employees/ authorized person with Valid NISM Certificates and also based on dealer request for terminals signed & acknowledged by the branch manager . Terminals are closed/ surrendered as and when employee leaves or on expiration of certificates.

- Terminals are provided in head office, branch office or the office of sub-brokers.
- Terminals are operated by approved users or approved persons with valid certification.
- Correct user name, login id, terminal location, etc. are reported to the exchange.
- CTCL / IML facility has been used only with the prior approval of the exchange.
- Internal controls relating to expiry of user certificates are strictly followed
- Yearly System Audit for CTCL and IBT and submission of report to exchanges
- Yearly System Audit for IML, IBT and submission of report to BSE.
- Updated version of software is used.
- Back up facilities are available in place and followed
- Sufficient system for data security is in place.
- Ensuring that all approved users and sales personnel have valid NISM Series
- Implementing appropriate checks for value and / or quantity based on the respective risk profile of their clients as per the provisions of SEBI Circular
- Mechanism to limit the cumulative value of all unexecuted orders placed from their terminals to below a threshold limit set by them as per the provisions of SEBI Circular is available
- Adequate steps taken as specified by Exchange periodically to review & monitor the Trading Terminals mapped to its Branch/AP .