



MADHUVAN SECURITIES PRIVATE LIMITED
Member of National Stock Exchange of India Limited
Member of National Securities Depository Limited
CIN: U67120GJ1995PTC024502
Regd. Office
82, Madhuvan, Opp. Hotel West End, Ellisbridge,
Ahmedabad-380 006
Tel : 079-68198992 Email : info@madhuvan.com

MADHUVAN SECURITIES PRIVATE LIMITED

INTERNAL CONTROL POLICY

PREFACE:

MADHUVAN SECURITIES PRIVATE LIMITED (MSPL) is registered member with NSE for Capital and Derivatives segments. Our registered office is at Ahmedabad, Gujarat. MSPL offers a wide range of wealth generation solutions to individuals and institutions based on creative value-investing ideas. Its strength lies in its customer-centric approach and a firm commitment to make your money work for you.

We are a corporate stockbroker with experience in this highly complicated yet engrossing world of Stock Markets. Our name is backed by a stand-out and visionary Promoter and Management Team, high caliber human resource and state-of-the-art infrastructure with high investor & client friendly standards.

REGISTRATION OF CLIENTS:

ACCOUNT OPENING PROCESS:

We have broadly categorized the clients into two segments:

- a. *Individual and*
- b. *Non -Individual*

The above categorized are described as under;

- a. *Individual* : include Individual, Hindu Undivided Family (HUF) and Non Resident Indians (NRI's).
- b. *Non Individual* : Non Individual include Partnership Firms, Trust, and Corporate etc.

PMLA

We have a Policy pertaining to prevention of Money Laundering Act & also implemented according to procedure written in the Policy

CLOSURE OF CLIENT ACCOUNT / DORMANT ACCOUNT:

We have policy of dormant & inactive account.



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TRADING:

Trading is doing by following and using Fair Practice Code. we are using MONEY MAKER (CTCL).

TERMINAL:

We receive the order manually as well as telephonically. We executing telephonically received order after confirming the client identification by asking some personal information from the client for ensuing their authentication / identity. In later stage after completion of back office activities, contract note sent to the clients. We have a proper system to check the validity of approved users on terminals and ensure that certificate of approved users has not expired.

CONTRACT NOTE:

Contract Note is the confirmation of trade(s) done on a particular day for and on behalf of a client. A contract note is issued to a client within 24 hrs of the execution of trade by Email and log file for the same is maintained. Contract notes No. are maintained on financial year basis. Proper Log for ECN is kept & monitored for delivery etc. If any client request for physical contract note then we also provide the same.

SECURITIES:

Net obligation of securities (Final Receipt statement) generated by NSE is checked with Delivery statement and deliveries are transferred to / from client demat accounts.

INVESTOR REDRESSAL SYSTEM / MECHANISM

1. The Company has a proper system for recording all clients complain either received personally or Phone Call or via post or via Email.
2. The Company has also designated email id for sending complaints by its investor and clients.
3. The Company has also manual system for registering complaint, verified by the Compliance officer or its team of official time to time
4. On receiving the complaint, the Compliance officer is authorized to disposed off complain on its merit basis.

DATE: 09/04/2024
