

POLICIES AND PROCEDURE OF INTERNAL CONTROLS

Registration of Clients:

Due care will be taken that all the required as specified by the Exchange are kept compliance with, esp. with reference to KYC, RDD, and Agreements. No trades will take place unless the relevant records are in place.

Receiving, validation & entering the orders of clients in the trading platform:

The dealers will take due care to ensure the identity of the clients while placing the order, as well as ensuring that the client has paid the upfront margin.

Collection and release of payments to clients:

Payments due to the clients will be made as and when due and/or demanded by clients.

Collection and maintenance of Margin:

Upfront margin will be collected from the clients as per the Exchanges.

Collection and delivery of Securities to the clients:

Securities will be accepted from the clients towards margins shall be from the demat accounts of the client himself, and shall be returned back to the same demat account on client request.

Monitoring of Branches/Sub-Brokers/DP Operations etc:

The trades done by the branches shall monitored on a daily basis by Shri. Hitesh Fozdar Director.

Operations & Compliance requirements:

All operations and compliance requirements of the Exchanges shall be personally overseen by Shri Hitesh Fozdar, Director and all are expected the fulfill them.

Payments of dividends etc:

Dividend to the clients for the securities shall be credited to the clients on the same day when credit of the same is received in our bank account.

Continuity planning / Alternate plan in case of disasters etc:

The alternate site for reporting in case of any disaster at Viral Investments, Grain Market, Jamnagar will be PM-16, Stock Exchange, Rotunda Building, Mumbai Samachar Marg, Fort, Mumbai – 400 001 and in case of problem at that site too then B-303, Anand Bhuvan, V P Road, Mumbai – 400 004.

For Ina Stock Broking Co Pvt Ltd

Director.