



K. K. Stock Management Pvt. Ltd.

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Client Code Modification and error Code Policy

The main objective of the company to frame a policy for modification of client code for post trade execution and to educate the dealers and create awareness among them about this policy.

Brief criteria about Client code Modification

Client code modification means modification of client code after the execution of trade. The stock exchange provides a facility to modify the client code to rectify an error. Further only the genuine errors will be modified and after being transferred to 'Error Account'. The modification should be done within the Stock Exchange guidelines. The modification of client code is to be done only in exceptional cases and not in routine case.

Details about Genuine error

The following trades shall be modified / allowed to be modify, shall be treated as genuine error and transferred to Error Account.

- I. Punching error / typing error of client codes due to any genuine error or mistake in order entry, while punching the order, by any of dealer.
- II. Trade entered for wrong client due to any miscommunication from the client /authorized representative of the client.
- III. Client code/name and modified client code/name are similar to each other but such Modifications are not repetitive.
- IV. Family Code (spouse, dependent parents, dependent children and HUF)

Reporting System

- Client code modification issues should be reported to the Key Personnel's and can be done only after getting approval after knowing it's genuinity as per exchange directives.
- Any client code modification shall be subjected to this policy.
- The company review every day the Error Account file send by the Exchange.
- A separate register to be maintained by the company for above purpose where full details will be recorded.

