



K. K. Stock Management Pvt. Ltd.

Member : BSE • NSE • DP - CDSL

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PRE FUNDED INSTRUMENTS ACCEPTANCE POLICY

Objective: This policy is framed with the objective of prohibiting the flow of third party funds and unidentified money through pre funded instruments like NEFT/DD/PO/RTGS etc.

The objective is to maintain audit trail for acceptances of such funds and ensure that no third party funds are accepted unless with proper documentary evidences.

Scope: This policy is framed for accepting NEFT/DD/PO/RTGS at K K Stock Management Pvt Ltd. This policy covers all such instruments that may be accepted from the clients.

If the aggregate value of pre-funded instruments is Rs. 50,000/- or more, per day per client, K K Stock Management Pvt.Ltd. may accept the instruments only after due verification with the issuing Bank.

We will maintain an audit trail of the funds received through electronic fund transfers to ensure that the funds are received from their clients only.

The accounts staff will ensure the compliance and would maintain the relevant documentary evidence for the same which would be produced before the regulatory authorities whenever required.

The compliance officer would periodically review this policy and would ensure its compliance along with the accounts department.

