

SAROJ SECURITIES

309 KAN CHAMBER, 14/113 CIVIL LINES, KANPUR – 208 001

Member: The National Stock Exchange of India Ltd.

SEBI Regn No: INZ 000224427

Policy regarding contract notes/daily margin statements/quarterly statement of account of client

1. Contract notes (physical /Electronic as consented by Client) will be to send to client within prescribed time limits as specified by SEBI.
2. Trading Member shall issue contract notes only for the trades done under the rules, byelaws & regulations of the Exchange and not otherwise.
3. All the prescribed details including running serial number, name and signature of authorized signatory, dealing office details, brokerage and all statutory levies are mentioned in contract notes.
4. Daily Margin Statement will be issued to the respective clients with the details as specified. By SEBI
5. Proof of delivery / dispatch / digital log for dispatch of contract notes /statement of accounts/daily margin will be maintained.
6. Member will comply with all regulatory requirements related to Electronic contract notes (ECN) as stipulated by SEBI/NSEIL .
7. Trail of bounce mails will be maintained and Physical delivery of Contract notes /statement of accounts /demat ledgers will be ensured in case of bounced mails
8. Complete statement of accounts for funds and securities will be issued on monthly/quarterly basis (as opted by Client) to clients, with error reporting clause as specified by SEBI.
9. Trading member will also prominently display on contract notes ,statements of funds and securities ,correspondences with the clients ,the details such as- name of member as registered with SEBI, its own logo,- if any , its SEBI registration number, its complete address with telephone numbers ,investor grievance Email id. ,Name of compliance officer, telephone number and email address and other details as specified by SEBI .

Updated on 01.04.2021