

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 for Internal audit

- The Firm will maintain the relevant books of accounts, records and documents for both the segments i.e., Capital Market & Future & Options in order to fulfill the Compliance /Inspection /membership requirements as prescribed by NSE/SEBI through various circulars from time to time.
- The Internal Audit Report will be placed before the Compliance Officer and Partners of the Firm and they will be under an obligation to discuss the irregularities/recommendations/suggestions, if any, raised by the Internal Auditor and if found correct , the compliance team of the TM would work to avoid any recurrence in future .
- The Compliance Officer and the Partners of the Firm will be liable to take necessary steps in order to implement the recommendations and suggestions raised by the Internal Auditor and ensure that it does not gets repeated in future.
- The following areas will be under an observation for proper internal audit
 - 1.Client Registration Documents
 - 2.Order Management and Risk Management Systems.
 3. Contract notes , Client Margin Details and Statement of accounts.
 4. Dealing with client's fund and securities.
 5. Banking and Demat account Operations.
 6. Terminal Operations and systems.
 7. Management of branches and internal control.
 8. Investor Grievance Handling.
 9. Maintenance of books of accounts etc.
 10. Systems & Procedures pertaining to Prevention of Money Laundering, Act PMLA,2002.
 11. Transfer of Trades.
 12. Internet Trading.
- The compliance , operation and back-office team of member will fully cooperate with Internal auditor to find out any irregularities /non compliance in working .

Updated on 01.04.2021