

PRE- FUNDED INSTRUMENT POLICY

- 1.) Cheques and DD are accepted only along with a self- declaration given by the client.
 - 2.) In case the aggregate value of pre-funded instruments is Rs 50000/- or more, per day per client, we accept the instruments only if the same are accompanied by the name of bank account holder and number of Bank Account debited for the purpose, duly certified by the issuing bank. The mode of certification may include the following.
 - (i) Certificate from the issuing bank on its letterhead or on a plain paper with the seal of the issuing bank
 - (ii) Certified copy of the requisition slip (portion which is retained by the bank) to issued the instrument.
 - (iii) Certified copy of the passbook/ bank statement for the account debited to the issue the instrument.
 - (iv) Authentication of the bank account-number debited and name of the account holder by the issuing bank on the reverse of the instrument.
 - (v) In case of electronic funds transfers like RTGS/NEFT, the client may also submit the screenshot from the bank's website clearly indicating the bank details to identify the source from where the funds are transferred.
- B. Maintain an audit trail of the funds received through Electronic Fund Transfers to ensure that the funds are received from their clients only.

To

Compliance Officer,
Findoc Investmart Private Limited
4th Floor, Kartar bhawan,
Near PAU Gate No 1,
Ferozepur Road,
Ludhiana-141001

CLIENT CODE.....

CLIENT NAME.....

SUB. DECLARATION FOR SUBMISSION DEMAND DRAFT (DD)

Dear Sir,

I hereby confirm that the DD No..... Dated..... drawn on..... Bank, in favour of Findoc Investmart Private Limited has been drawn/ prepared out of my own funds acquired through legitimate sources and does not involve and is not designed for the purpose of contravention or evasion of any applicable act, rules and regulations and the same is being submitted towards my account maintained with your company/ to be maintained with your company, for trading in securities.

Kindly credit the same in my account.

Thanking You.

Signature of the Client:

Date...

Place...

For Office Use

Signature of Manager

Name:

Signature:

Received On...