



R.L.P. Securities Pvt. Ltd.

Corporate Member – NSE, BSE & MCX-SX.

Depository Participant – CDSL.



Policy for Pre funded Instruments

As a Policy R.L.P. Securities Pvt. Ltd. discourages receipt of funds from the Clients through Pre-funded Instrument means Demand Draft, Pay Orders, Fund Transfer through Internet, etc

This is to discourage the flow of third party funds or unidentified money into the System to avoid future litigations and comply with the Regulations of the regulatory bodies.

The Prefunded Instruments may be accepted under special circumstances with the permission of the Senior Management / Board of Directors. The special circumstances include:

- Continuous Bank Holidays.
- Client having account in other Banks or in Co-operative bank
- To Meet Immediate Margin/Settlement Shortfall
- To take Fresh Position
- Client's bank or City do not have clearing facility / branch.
- Non Availability Cheque book or delay in procuring cheque book
- Default Client

Where the aggregate value of the prefunded instrument is less than Rs. 50000/- per day per client, the prefunded instrument is accepted only after ascertaining the genuine reason for the said prefunded instrument and after obtaining undertaking to that affect by maintaining the Xerox copy of the prefunded instrument.

Where the aggregate value of the prefunded instrument is Rs. 50000/- or above per day per client, the prefunded instrument is accepted only after ascertaining the genuine reason for the said prefunded instrument and after obtaining undertaking to that affect and accompanied by the name of the account holder and number of the bank account debited for the purpose duly certified by the issued bank. The mode of the 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 issue the instrument.
- iii. Certified copy of the passbook/bank statement for the account debited to 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.

The Prefunded Instruments will be accepted only in cases mentioned above and not otherwise. The credit of such prefunded instruments will be given to the Clients only on the fulfillment of the above procedure and subject to the approval of the Senior Management / Board of Directors.

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