

**MEMBER: TRADEWELL SECURITIES LIMITED**  
NATIONAL STOCK EXCHANGE  
BOMBAY STOCK EXCHANGE  
MULTI COMMODITY EXCHANGE OF INDIA LIMITED

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**PRE - FUNDED POLICY**

Policy of the Company for the acceptance of Prefunded Instruments. This policy is Subject to the rules and regulations of the Exchange from time to time.

**Name of the Policy:** Acceptance of Prefunded Instrument for trades on Exchanges.

This Policy is applicable to Head office, all the Branches of the Company and all the Franchisees of the Company wherever trading terminals / IBT terminals are there.

**Scope:** Acceptance of Prefunded Instruments like Demand Draft/Pay order/Bank Guarantees from a Client against Payin Obligation/ Margin.

**Procedures:** The Prefunded Instruments must be accepted only in an unavoidable and in special circumstances only.

**Objective:** The Objective of this policy is to minimize the frequency of acceptance of prefunded Instrument, especially Demand Draft where there is a difficulty in tracking the correct source of Issuance.

**Permissible Limits:** The Prefunded Instruments must be accepted only in cases mentioned as below and not otherwise. Approval for acceptance must be taken by either of the executive Directors or the Managing Director and only then credit should be given.

1. Certificate from the issuing bank on its letterhead or on a plain paper with the seal of the issuing bank
2. Certified copy of the requisition slip (portion which is retained by the bank) to issue the instrument.
3. Certified copy of the passbook/bank statement for the account debited to issue the instrument.
4. Authentication of the bank account-number debited and name of the account holder by the issuing bank on the reverse of the instrument.
5. We also maintain an audit trail of the funds received through electronic fund transfers to ensure that the funds are received from their clients only.