

MyMoney™

SECURITIES LIMITED

Regd. Office : 10-A, Under Hill Lane, Civil Lines, Delhi-110054 Ph. 011-23924241

CIN :L67120DL1992PLC047890 Email : mymoney@vsnl.com

Internal Controls Manual

1. Registration of clients

1. All client forms received will be screened with reference to the following:
 - A. Form is properly filled and signed : brokerage rate is mentioned; introducer's name is mentioned.
 - B. All requisite documents are attached: DP Proof, Bank Proof, Residence Proof, Identity proof, photograph, Pan Card copy, Stamp papers are duly signed.
 - C. Pan No. is verify with original & IT Website.
 - D. Brokerage is mentioned on each form.
 - E. Form for office use only at page 24 is filled up as far as possible.
 - F. Allot code no. and upload all details on NSE
 - G. In person verification.
2. After checking the forms, it will be sent to Designated Person for a final check up before allotment of any code. DESIGNATED PERSON will also mention the name of the dealer.
3. Once it is okayed by DESIGNATED PERSON, a code no. will be allotted and forms will be uploaded in all segments; NSE & F&O and the date of uploading will be mentioned on the front side of the back page.
4. Then the format will be made in 2 copies; one copy for client; one for record and back office.
5. The format will be signed by AUTHORISED SIGNATORY and dispatched to client.

Subsequent changes in client records		: Person designate :	Remarks
1.	All changes regarding name change/address change/DP change/brokerage change is to be carried out on receipt of written communication from the sub broker/client along with documentary proof, as required	Authorised Person	
2.	Upload the change on NSE and mark this fact and date on letter received and give the same to Filing Department for filing.	-do-	
Changes in User Ids			
1.	Different formats are available for change of user; for new user; for shift of user; shift of ID from one place/one connectivity/to another place/another connectivity under the file 'approved user'	Back office/ Authorised Person	

Regular checking of NSE circulars			
1.	Daily basis checking NSE sites for circulars relevant to us is required to ensure proper compliance on different matters	Compliance officer /Back office	
Keep record of Stamp papers distributed/utilized		Authorised Person	
Timely follow-up of matters listed in Compliance Check List		All concerned	
Collection & Release of Payments & Securities from/to clients			
All clients, who have preferred to give us an authority for maintaining a running account for shares and funds in the credit of their accounts for regular trading on day to day basis, must be delivered payment and/or shares within 24 hours of the request received from them.			
Payment of Dividend /Bonus shares:			
All dividends/Bonus received by us on the holdings of the clients must be paid. A person will be specially designated for the purpose			
Compliance Requirements			
A month wise compliance chart containing compliance requirement for Stock Exchanges, SEBI is already in place. It will be updated as and when required and will be strictly adhered to by the compliance officer.			
Back up procedures:			
Taking back up of the data is one of the most important steps for the continuity of the business. Designated person will take back up of the following records on a weekly basis			
These CDs will be kept at a location different from the registered office of the Company either in a locker or at the residence of the Managing Director at a safe place so that in the event of any disaster management, the continuity of the business is not lost.			