

MACY SHARES & STOCK BROKERS PVT.LTD

Member, National Stock Exchange of India Ltd. Capital & Derivatives

SEBI Regn No.: INZ000271830 Member Code : 07140

Regd. Office : 6 C1-2, Court Chambers, 35, Vithaldas Thakersey Marg,
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MACY SHARES & STOCK BRK.PVT.LTD POLICY FOR PRE- FUNDED INSTRUMENTS AND ELECTRONIC FUND

TRANSFERS

(Applicable for all exchanges/segment)

Version 3.0

1. Background

Macy Shares & Stock Brk. Pvt.Ltd. is registered with the Securities and Exchange Board of India (SEBI) as:

1. Stock Broker (SEBI Registration Number INZ000271830)

This policy is made to implement the requirements of SEBI Circular ref. CIR/MIRSD/03/2011 dated 09-Jun- 2011 for its Stock Broking operations.

2. Policy on prefunded instruments

If the aggregate value of pre-funded instruments is Rs. 50,000/- or more, per day per client, the Macy Shares & Stock Brk. Pvt.Ltd may accept the instruments only if the same are accompanied by the name of the bank account holder and number of the 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 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.

3. Policy on Electronic Funds Transfers like NEFT/ RTGS/ IMPS, etc.

Macy Shares & Stock Brk. Pvt.Ltd. shall maintain an audit trail of the funds received through electronic fund transfers to ensure that the funds are received from their clients only.

4. Other funds transfer (like credit cards)

Other types of funds transfers like credit cards will not be accepted by Macy Shares & Stock Brk. Pvt.Ltd.

MACY SHARES & STOCK BROKERS PVT LTD



(Udhayakumar Mani Nadar)
Compliance Officer



The above revised policy was approved by Macy Shares & Stock Brk. Pvt.Ltd at the Board meeting held on 10.11.2022.. The policy will be reviewed over the time.