**AMU SHARES & SECURITIES LIMITED**

**Policy for Pre-funded Instrument Investment Acceptance**

As a part of our internal control policy we are strictly restricting Demand Drafts/Pay Orders/Banker’s Cheques for the receipt of funds from the clients. This is to avoid 3rd party pay-in to client accounts. In any exceptional case of payment by D.D/Pay Order/Banker’s Cheque, self-declaration from the clients is not sufficient. Such funds from the client through pre-funded instruments shall be accepted after the following conditions as per SEBI circular ref.no.:CIR/ MIRSD/03/2011 dated 9th June 2011 & BSE notice no 20110610-6 June 10 2011 have been complied:

In case of acceptance of pre-funded instruments of Rs.50,000/- or more, per day per client, such as, Pay Order, Demand Draft, and Banker’sCheque etc shall be accompanied by Bank’s Certification.

The mode of certification shall be as follows:

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.

For AMU SHARES & SECURITIES LIMITED

Director

Mr. Arvind M. Shah