

DOLAT INVESTMENTS LIMITED

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Corporate Identity Number : L67100DD1983PLC004760

POLICY FOR CLIENT CODE MODIFICATION IN CASE OF ERROR

1. Objectives:

To frame the guidelines for modification for of client poses post trade execution and reporting of such client code modification.

2. Brief a about client code Modification:

Client Code Modification means modification/changes of the client codes after execution of trades. Exchanges provide a facility to modify any client code after the trade has been executed to rectify any error or wrong data entry done by the dealers at time of punching orders. However, such client code modification is subject to certain guidelines as to the time limit within which such modification can be done etc. The facility is mainly to provide a system for modification of client codes in case of genuine errors in punching the orders. It is to be used as an exception and not a routine.

3. Scope of the Policy:

This policy covers all the Client Code Modification carried out or to be carried out in any of the client accounts, subject to the guidelines issued by the SEBI/ Exchanges from time to time. In any any exchange for which Dolat Investments Ltd. is a member broker.

4. "Error Trade" means the trades which will be modified / to be modified / allowed to be modified subject to guidelines of the SEBI/ Exchange from Client account to Members account due to dealers punching errors. We have maintained the Code ERRORACCT as our A/c in NSE. We shall not transfer any trades from ERRORACCT to any other A/c. Further the error trades transferred to our ERRORACCT shall be liquidated from the same ERRORACCT as early as possible.

For the purpose of this policy only the following types of trades shall be modified allowed to be modified.

In case of NSE:

1. Punching error/ typing error of clients codes due to any genuine error or mistake in order entry. While punching the order by any of dealer.

2. Trade entered for wrong client due to any miscommunication from the client authorized representative of the client.
3. Modification within family members
4. Institutional trades modified to broker error/pro account.

5.General Conditions:

1. The Client Code Modification shall be carried out only on the designated system and / or as per the process as may be prescribed by SEBI / Exchange.
2. The dealers of Dolat Investments Ltd. shall Scrutinize the client code modification requirements before forwarding the request to the director / authorized person of Dolat Investments Ltd. On receiving the request the director shall analyze and approve the client code modification as allowed by SEBI / Exchange to be carried out.

For Dolat Investments Ltd.

Pankaj D. Shah

**Director
Pankaj D. Shah**

