



# *Bhogilal Trikamlal Securities Pvt. Ltd.*

MEMBER: BSE LTD. & NSE LTD.

R-717/721, Rotunda Bldg., B. S. Marg, Fort, Mumbai - 400 023. || Tel.: 2272 1907 • Fax: 2272 2966

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## **POLICY FOR UNAUTHENTICATED NEWS CIRCULATION.**

All dealing telephone lines are recorded and inspected by the compliance officer at regular intervals.

We do not have any website / blogs.

We have a Policy to have no internet connection in the Bolt Machine.

Further management keeps a close watch on all the news which is circulated & sees to it that they are not unauthenticated.

## **READDRESSAL MECHANISM FOR INVESTOR GREVIANCE**

In case of any investors complaints, the Compliance Officer (CO) will try to resolve the same within seven days. In case if the same are not resolved, the CO will escalate the complaint to the Management. Then the Management will try to resolve the complaint within 15 days. Once the investor is satisfied he will issue a no objection letter in favour of company.

## **POLICY FOR ERROR ACCOUNT**

In case of a mistake in the client code, it will be verified by the compliance officer, confirming that it is a genuine mistake and then shifted to the "ERROR ACCOUNT". These errors allowed could be a punching error / typing error of client codes by the dealer & mistake in client code due to communication error.

Further it is seen that trades in the error account are subsequently liquidated in the market and not shifted to some other client account

In case the error is detected after the market hours the trade shall be transferred to "ERROR ACCOUNT" in the back-office software.

- a) ERROR A/C has been uploaded in the UCC.
- b) The Authorized personnel for changing codes are: Aakash P. Shah  
Jigar R. Shah

- c) Register is maintained for the same to be signed by the Compliance Officer for approval prior to Trade change.