



BCB BROKERAGE PRIVATE LIMITED
POLICY FOR PRE- FUNDED INSTRUMENTS AND ELECTRONIC FUND TRANSFERS
(Applicable for all exchanges/segment)
Version 3.0

1. Background

BCB Brokerage Private Limited (BBPL) is registered with the Securities and Exchange Board of India (SEBI) as:

1. Stock Broker (SEBI Registration Number INZ000200633)
2. Merchant Banker (SEBI Registration Number INM000012078)
3. Depository Participant (SEBI Registration Number IN-DP-438-2019)

This policy is made to implement the requirements of following circulars for its Stock Broking operations:

- i. SEBI Circular ref. CIR/MIRSD/03/2011 dated 09-Jun- 2011
- ii. NSE Circular No. NSE/INSP/2011/118 dated 09-Jun- 2011
- iii. BSE Notice No. 20110610-6 dated 10-Jun-2011

2. Policy on prefunded instruments

If the aggregate value of pre-funded instruments is Rs. 50,000/- or more, per day per client, the BBPL 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.

BBPL 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 BBPL.

Sd/-

Uttam Bagri

Director DIN 01379841

BCB Brokerage Private Limited

The above revised policy was approved by BCB Brokerage Private Limited at the Board meeting held on 30-Sep-2021. The policy will be reviewed on an annual basis.

The policy was last reviewed on 1st July, 2024 without any changes.