Mukul Amratlal Sonawala

MEMBER : NATIONAL STOCK EXCHANGE OF INDIA LTD. (CAPITAL MARKET)

POLICY FOR CLIENT CODE MODIFICATION

1. Objectives:

To frame the guidelines for Modification of client codes post trade execution and reporting of such client code modifications

2. Brief about Client Code Modification:

Client Code Modification means modification/change of the client codes after execution of trades. Stock 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 the time of punching orders However, such client code modification is subject to certain guidelines as to the time limit within which such modifications 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 Modifications carried out / to be carried out in any of the client accounts subject to the guidelines issued by the SEBI / Stock Exchanges from time to time in any segment of any exchange for which Mukul Amratlal Sonawala is a member broker.

4. "Error Trades" means the trades which will be modified / to be modified / allowed to be modified subject to guidelines of the SEBI/ Stock Exchanges from Client account to Members account due to dealers punching errors We have maintained Error A/c in NSE and in BSE We shall not transfer any trade from Error A/c to any other A/c Further the error trades transferred to our Error A/c shall be liquidated from the same Error A/c 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 / miscommunications from client codes due to any genuine error or mistake in order entry, while punching the order by any of dealer.

2. Institutional trades modified to broker error/pro account

In case of BSE:

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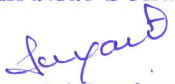*Order entry. While punching the order. by any of dealer*

2. Trade entered for wrong client due to any miscommunication form the client/
Authorized representative of the client

3. 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 / Stock Exchange

2. The dealers of Mukul Amratlal Sonawala shall scrutinize the client code modification
requirements before forwarding the request to the director / authorized person of Mukul Amratlal
Sonawala. On receiving the request. the director shall analyze and approve the client code
modification as allowed by SEBI / Exchanges to be carried out.

For Mukul Amratlal Sonawala

Jayant Amrutlal Pandya
Compliance Officer