



PRE-FUNDED INSTRUMENTS POLICY
TRDEZ INVESTMENT PRIVATE LIMITED
Version- 1.0

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Document Control

Document Title **PRE-FUNDED INSTRUMENTS POLICY**

Version History

Version No.	Version Date	Author	Summary of Changes	Approval By	Title	Date of Approval
1.0	06/10/2023	Ms. Vanshika Ghag Governance Risk and Compliance Analyst	NA	Mr. Chetan Dhar Compliance Officer	PRE-FUNDED INSTRUMENTS POLICY	06/10/2023

Distribution

Name	Title	Date of Issue	Version No
NA	NA		NA

PRE-FUNDED INSTRUMENTS POLICY

This is a Master Policy of the Company for acceptance of pre-funded instruments. This Policy has been devised in view of SEBI Circular No. CIR/MIRSD/03/2011 dated 09 June 2011 and is subject to the rules and regulations of the Exchanges from time to time.

Title :

Acceptance of Prefunded Instrument for trades on Exchanges.

Objective :

The Objective of this policy is to minimize the frequency of acceptance of Prefunded Instrument, especially in case of Demand Drafts where there is a difficulty in tracking the correct source of Issue.

Coverage :

Head Office, the branches of the Company and all the Authorized person of the company

Scope :

Acceptance of Prefunded Instruments viz. Demand Draft/Pay Order/Bank Guarantees from a client against Paying Obligations/Margins.

All pre-funded instruments having aggregate value of Rs. 50,000/- or more, per day per client, must be accepted 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 either:

- a. Certificate from the issuing bank on its letterhead or on a plain paper with the seal of the issuing bank.
- b. Certified copy of the requisition slip (portion which is retained by the bank) to issue the instrument.
- c. Certified copy of the passbook/bank statement for the account debited to issue the instrument.
- d. Authentication of the bank account-number debited and name of the account holder by the issuing bank on the reverse of the instrument.

The member reserves the right to reject the payment, post-acceptance and/or processing of the same without any recourse to the client, if any of the requisite documents/declarations are unavailable or incomplete.

For TRDEZ INVESTMENT PRIVATE LIMITED