

PORTFOLIO MANAGEMENT SERVICES

If the trading member is registered as a portfolio manager or if any other portfolio managers are registered with the trading member, please provide all the above mentioned information in case of each and every portfolio manager:

- a) The total number of clients registered to avail the portfolio management scheme. [please provide a list of clients, giving their code at the time of order entry, back office code if any, name, demat account, bank account etc.]
- b) In which code the trades are executed [whether the individual codes of clients or a single code of portfolio manager?]
- c) To whom the contract notes are issued [whether to the individual clients or a single code of portfolio manager?]
- d) Who clears the trades? [custodian or the trading member itself]
- e) If the trades are cleared by the trading member, from the where the funds are received/paid, [from the individual clients / from the portfolio manager]
- f) If the trades are cleared by the trading member, from the where the securities are received/issued, [from the individual clients / from the portfolio manager]
- Agreements are executed with individual clients [please attach sample copies of executed agreements]

Please attach sample copies of ledgers of the individual clients / the portfolio manager

WE ARE NOT PROVIDING ANY PORTFOLIO MANAGEMENT SERVICE. HENCE NOT APPLICABLE

