



## INTERNAL CONTROL POLICY

### TAURUS CORPORATE ADVISORY SERVICES LIMITED.

Member: NSE, BSE, MCX, MSEI, CDSL

Company	Registered as	Member of	SEBI Reg. No.
Taurus Corporate Advisory Services Limited	Stock Broker	NSE, BSE, MSEI, MCX	INZ000258036
	Depository Participant	CDSL	IN-DP-646-2021
	Merchant Banker	SEBI	MB/INM000011740

#### ❖ **KNOW YOUR CLIENT (KYC):**

Only those new clients would be accepted and allowed to trade with us, who would be referred to us by any of the following:

- 1) Employees;
- 2) Directors;
- 3) Relatives or Family Members of the Directors;
- 4) Existing Clients (trading in any segment).

On expression of wish for becoming a client by any person, a copy of Client Registration Form (CRF) along with other documents and forms will be forwarded to the client. The copy of the CRF will also be accompanied with the list of documents and additional documents or proofs required.

Client Registration Form after being signed and filled by the Client will be received at our Client Registration department.

At the client registration department, the documents are checked thoroughly and details would be matched with NSE-KRA and only after they are found proper they will be counter signed by us. The client code generated will be communicated to the client vide a welcome email after completion of entire procedure.

A prospective client will be allowed to trade only on satisfactory submission of required documentary proof and proper signing of documents along with submission of the requisite margin.

The following procedure should be adopted for identification of Client:

1. As far as possible, no clients will be registered without personal contact. ie in -person verifications



2. In addition to personal contact, for client identification, proper address and identity proof as prescribed by SEBI as per Uniform Documentary Requirement will be obtained from the client.
3. Details will be matched with the existing details in any of the KRA's and other official websites like MCA.
4. PAN number and a Copy of PAN card will be compulsorily obtained from the client. No trading will be allowed unless the proof of PAN proof is submitted by the client.
5. Aadhar Card Verifications need to be carried out for all individual clients
6. In-person verification should be carried out by the staff and stamp should be affixed for in person verification.
7. Copy of KYC documents will be provided to client after generating code in back office software.
8. 6 KYC attributes viz Name, Complete address (including PIN code No. in case of address of India), PAN, valid Mobile number, Valid email-id, Income details/range and details of custodians for the custodian settled clients has been made mandatory for Investors and hence to be taken and all compliances as suggested by the regulator from time to time, to be adhered strictly
9. In instances, where the aforesaid 6 KYC attributes are not updated, the trading accounts would be considered as non-compliant and would not be permitted to trade at the Exchange.
10. To ensure smooth settlement, the investors are requested to ensure that both the trading and demat accounts are compliant with respect to the KYC requirement.
11. Ensure that Investors comply with the requirement of linking their Aadhar Number with PAN by March 31, 2023. Investors whose PANs are not seeded with their Aadhar Numbers by June 30, 2023 shall not be permitted to trade w.e.f. July 01, 2023 as their PANs shall be rendered inoperative.
12. The investors are hereby requested to comply with the regulatory guidelines issued by Exchanges and Depositories from time to time with regard to KYC compliance and related requirements.
13. UCC will be uploaded before execution of trades.

SEBI vide Circular No. SEBI/HO/CDMRD/DNP/CIR/P/2021/30 dated March 08, 2021, modified the earlier Circular No. SEBI/HO/CDMRD/DMP/CIR/P/2016/87 dated September 16, 2016 for compulsory verification of PAN and e-PAN while creating UCC for Commodity Derivatives Segment. Further,

The same be made applicable to all segments where the company is active

❖ **REGISTRATION OF INTERMEDIATERIES:**

1. The procedure as prescribed for registration of Authorised Person's will be followed.
2. Brokerage will be shared with the respective Authorised person only after the Approval of Registration by the Exchange.
3. No Brokerage will be paid to the Authorised Person for the trades executed prior to registration.

❖ **TRADING TERMINAL:**

1. From 01/04/2014 onwards the Terminal User should be NCFM / NISM certified within the prescribed period as noted by the Exchange. Before allowing the user to





operate the terminal, the copy of NCFM / NISM certificate will be collected and verified with the original.

2. The user will be asked to renew the NCFM / NISM certificate on its expiry. If the user fails to renew the certificate then he would not be allowed to operate the same any further. The renewed copy of the certificate will be re-obtained and verified with original.
3. The guidelines laid down by the Exchange for Authorised User and Location of trading terminal will be strictly followed. It would be made sure that there is no issue of trading terminals to unauthorized persons or at unauthorized locations.
4. The data regarding new user as well as modification in existing user should be immediately uploaded and documented on modification or issue to the new user as the case may be.

❖ **CLIENTS TRANSACTION:**

Transactions of few major clients would be monitored, if required and in case of any suspicion from our side of possibility of any malfunctioning of the client. If required the client will be asked to stop such kind of malfunctioning or may be even asked to stop trading.

❖ **ORDER PLACEMENT:**

1. The orders will be placed by the respective Dealer as per the instructions from the clients.
2. However, it should be made sure that the price put up should not be unrealistic or not representing the correct market price, and all the regulations regarding these be followed from time to time
3. Every time before execution of order a final confirmation of the entire order should be made to the client.
4. The clients should not be induced to either Buy or sell.
5. All rules for risk management, collaterals, margins and allocations to be strictly adhered to

❖ **OTHERS:**

1. Complete confidentiality of Client information should be maintained. No client information would be given except if required by law.
2. Proper records as required by various statutes will be maintained.

**Details of key personnel:**

Sr. No.	Particulars	KMP-1	KMP-2
01.	Designation	Principal Officer	Compliance Officer
02.	Name	Mr. Mihir Mehta	Ms. Deepali Vartak
03.	Contact No.	022-61471100	022-61471177
04.	Fax No.	022-26104925	022-26104925
05.	Email id	<a href="mailto:mihir.mehta@taurusgrp.com">mihir.mehta@taurusgrp.com</a>	<a href="mailto:deepali@taurusgrp.com">deepali@taurusgrp.com</a>
06.	Grievances	<a href="mailto:grievance@taurusgrp.com">grievance@taurusgrp.com</a>	
07.	Information	<a href="mailto:info@taurusgrp.com">info@taurusgrp.com</a>	

