

MOHANLAL HEMCHAND PVT.LTD

Internal Policy for monitoring and reporting of Alert of from EBOSS

1) Receipt of Alerts from exchanges / generated at member's end :

The compliance officer now will be referred as "CO" shall keep watch on alerts generated during market hours.

2) Action Taken by CO:

CO shall inform to the concerned client / group of clients regarding regulation / non regulation Alert on the same day and will send email to client / group of clients seeking explanation/clarification for the respective trades for which alerts were generated by e-BOSS.

The CO shall observe the genuineness of the transaction by demanding bank statement / demat statement for a period of 15 days prior to the transactions. In case of adverse observations, CO shall report all such transactions to BSE within 45 days of alert generation along with the clarification sought from clients. The CO shall also present the records to the Internal Auditor.

The log book will be maintained for the regulatory Alert as under:-

<u>Date</u>	<u>Name of the Client</u>	<u>Ucc Code</u>	<u>Sr.no. of Alert</u>	<u>Inform to Client</u>	<u>Observation</u>
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<u>Int. Aud Remark</u>

CO to prepare a quarterly MIS indicating number of alerts pending at the beginning of the quarter, alerts generated during the quarter, disposed off during the quarter and pending at the end of the quarter and submit the same to Internal Auditor.