

KANCO STOCK & SECURITIES PRIVATE LIMITED

**Policy on Branch/ Authorized Persons and Inspections
(Effective Date: 01st February, 2026)**

KANCO STOCK & SECURITIES PRIVATE LIMITED



DIRECTOR

I. ALLOTMENT/SURRENDER OF TRADING TERMINALS, OPENING & CLOSING OF BRANCHES

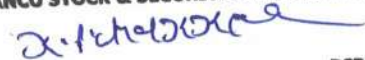
- **Allotment / Surrender of Trading Terminals:** The trading terminals are provided to the dealer/s that is/are appointed by the Company and to the registered APs only. The Exchange compliance requirements regarding allotment of terminals is strictly adhered to while allotment of terminals. In case of any closure of Branch or AP, the entire user IDs allotted to that location are surrendered.
- **Opening & Closing of Branches:** While opening a branch, survey is conducted by the marketing team as per evaluation sheet of the company which includes net worth and educational qualification along with experience in the Securities market of the person, infra structure and location of the office etc. Data gathered by the marketing team helps management to determine the credit worthiness of the person for opening a branch/ registering as associate. After the mutual agreement for terms and conditions between the new associate and the company branch is opened.
- **Closing of Branches:** Branch closing either initiated at branch level if the branch manager shows his interest to discontinue or initiated by Head office if the performance of the branch is not acceptable to the company. While closing the branch, branch and clients are informed about the closure of branch. Intimation in physical/ Electronic form regarding closure of branch is sent to all the clients of that centre. Then as per clients' instructions either they are shifted to nearest branch / HO or their accounts are closed. When the procedure is completed for all the clients, the branch is closed.

II. BRANCH /AP AUDITS

The Company has a dedicated Compliance team which carry out periodic Branch / AP audit as prescribed by SEBI & Exchanges. The team verifies the areas such as:

- No Cash dealings with clients are carried out.
- No Contract note / confirmation has been issued to clients other than the ones sent by KANCO STOCK & SECURITIES PRIVATE LIMITED.
- No Commission, brokerage or fees has been accepted from any client by associate.
- No funds have been transferred from client's account to the account of associate or from account of one client to the account of another client
- No personal trades of the associate have been executed in client's account under any circumstances etc.

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