



POLICY FOR BRANCH INSPECTION/AP INSPECTION

VER: 2.0.1

SEBI Reg No: INZ000074139

MCX Trading Member ID- 55060

NSE Trading Member ID – 90175

POLICY FOR BRANCH INSPECTION/AP INSPECTION

Maitra Commodities Pvt Ltd., have own branches and Authorised Persons in and around India.

The inspection will be carried out by our branch employees for all the APs located outside Tamil Nadu which is nearest to their location and the report will be generated as per the exchange format.

For the Branches located in Tamil Nadu, our Director and our branch employees located in various places in Tamil Nadu, will carry out the inspection and report will be generated as per the exchange format.

Generally the inspection of branches are being carried out once in 3 months and the related reports are being uploaded to the exchange.

The detailed areas Of Branch/AP inspection is as per the checklist enclosed.

Authorised Person (AP) / BRANCH Inspection check-list			
	Exchange NSE <input checked="" type="checkbox"/> MCX <input checked="" type="checkbox"/>	Inspection Period	
	Segment Cash <input checked="" type="checkbox"/> FAO <input checked="" type="checkbox"/> Commodity <input checked="" type="checkbox"/>		
Sl/No.	Particulars	Details	
1	AP /BRANCH Code with MAITRA		
2	Name / Trade Name of AP		
3	Registration number and registration date		
4	Location of AP (Address)		
5	Name of the Person Incharge in office		
6	Designation of the Person		
7	Office Space		
8	Own place / Rented (If rented, copy of latest rental agreement to be submitted to HO)		
9	No. Of Employees in AP's office		
10	Infrastructure Facilities available in AP Office	SYSTEM	
	Systems, UPS, Virus, updated version of softwares maintained properly		
11	CCTV installed	NO	
	Compliance Related	Complied	Proof attached
		(Yes / No / NA)	(Yes / No /NA)
12	Whether Name board containing all the details / information displayed as per regulation	YES	*
13	SEBI registration details of MAITRA displayed	YES	*
14	AP Registration letter issued by Exchange/s displayed	YES	*
15	Details of grievance redressal mechanism displayed	YES	*
16	Do's and Dont's Displayed	YES	*
17	No of active clients		
18	Visitors register for walk in clients maintained	YES	
19	All the clients introduced registered directly through MAITRA COMMODITIES PVT LTD	YES	
20	Voice Recorder is put in place for pre order confirmation ?	YES	
21	Is there any movement of Funds and Securities between client and AP officials ?	NO	
22	Is there any cash dealing with clients ?	NO	
23	Not involved in any fund based activity, chits, dubba trading and any other such schemes ?	YES	
24	Are you a SEBI registered Investment Advisor(If Yes, provide us SEBI Certificate)	NO	
25	Are you providing any Technical Calls / Tips / SMS etc., to your clients	NO	

26	Not involved in accepting FDs from the public and giving assured returns ?	NO	
27	AP has not dealt with any other trading member / AP on behalf of its clients /self	NO	
	on the same stock exchange.	NO	
28	AP has not dealt with any unregistered intermediary on behalf of its client/self	YES	
29	Proper back up of records like voice recorder, order/Trade log back ups maintained	YES	
30	Documents like Contract notes, statements of funds and daily margin statements are	YES	
	not issued by APs	YES	
31	Proper records are maintained for any administrative assistance extended to clients.	YES	
32	Order placing mechanism managed by AP (Over phone / Walk-in-clients / Online)	YES	
33	Order Log book maintained in case of walk in clients and acknowledged by client	YES	*
34	Trading Terminal(s) in operational as reported to Exchange	YES	
35	Trading Terminal(s) in operational in the location as reported to Exchange	NO	
36	Terminal(s) is/are operated by approved and certified users as reported to Exchange	NO	
37	NISM certification (In case of FAO terminals) displayed	NO	
38	APs employee's details with designation and rolls displayed	YES	
39	Advertisements (if any) issued with appropriate approval	YES	
40	Records of compliants from clients maintained properly (Complaint Register)	YES	*
41	Courier records with Acknowledgement slips maintained	YES	
42	No of clients mapped to your AP terminal		
43	Training given for KYC filling / DP forms filling / Back office / Front End by HO officials	YES	
44	RMS Policy and other copy of documents obtained from HO and explained	YES	
45	Proper records / documents related to Labour Act, displayed in office premises.	YES	*

Inspection Conducted by Maitra Official		AP's Signature & Seal	
Name			
Designation			
Emp.Id			
Signature			
Date			

* - clear photo to be attached