MUNI BROKING HOUSE LIMITED

Corporate Office: The Legacy, Unit 41A/43, 25A Shakespeare Sarani, Kolkata - 700017
CIN - U66120WB2023PLC260758 GSTIN - 19AAQCM6975R1Z0

INTERNAL CONTROL POLICY

Last Reviewed on	Reviewed By	Approved By
05-03-2026	Compliance Officer	Management

INTERNAL CONTROL POLICY

Muni Broking House Limited, hereinafter referred to as Muni, is the SEBI registered Stock Broker & Depository Participant.

OBJECTIVE

The objective of the policy is to control over the activities, the efficiency of the operations and efficient use of the resources of the company, and enable the company to assess all significant operational, financial and compliance risks appropriately.

More specifically, the system aims to ensure:

a) Compliance with laws and regulations;
b) Implementation of the instructions and directions given by management:
c) Proper functioning of the company's internal processes
d) Reliability of financial information.

POLICY

The policy is formulated in accordance to the Rules, Bye laws, circulars and guidelines issued by SEBI, Exchange and the internal Management Policy.

Our present structure of DEPARTMENT WISE job allocation is given below: -

1) Client Registration- to look after client registration (KYC), KRA, allocation of clients to dealers/branch/AP.
2) Surveillance and Risk management Department- Setting and monitoring trading limit and trading activity, to keep an eye on various alerts generated from back office and exchange.
3) Trade Management- Daily trade confirmation by trader/dealer or office bearer, to look after trade import and contract note (ECN and physical).
4) Delivery Department- to look after regular pay in and pay out to exchange and clients of securities and quarterly settlement incl. margin etc. of all segments.
5) Account Department-to look out regular pay in/pay out of funds to exchange and clients, maintaining of books of accounts and statutory obligations.
6) Handling of documents: to look after timely dispatches of all the required documents and filing of papers.
7) Technology and system -maintaining hardware and software, digitally signed documents, website, monitoring sms and emails etc.
8) Regulatory compliances: Monitoring of timely filing of documents to the exchange, Govt. dept., statutory bodies and internal audit.
9) Department wise allocation of work has been done to achieve maximum efficiency and specialization of employee in each field for minimum error.

The hierarchy of every department has been made as detailed below to achieve full control in day – to-day working.

IMPLEMENTATION OF POLICY

Hierarchy-

1) Directors

2) Compliance Officer

3) Manager/ Senior Executive

4) Department Head

5) Assistant Manager

- The assistant manager will work under the supervision of department head and report him about work done or pending work to department head daily.
- Department head will look after the correctness and timely completion of work and is required to report to senior executive on important issues daily and for other on biweekly basis.
- The Manager/Senior executive will report the matter to compliance officer or management or Director in charge as the case may be.
- The compliance office/ director in charge will hold meeting with all the directors under the chairmanship of managing director/ CEO periodically for updating and discussion of matter.

CONCLUSION

We at MUNI BROKING HOUSE LIMITED has adopted to work in changing environment by continuously evaluating our working system as per the load factor. We expect each and every employee of the company to follow the above mentioned guideline for utmost satisfaction of client.

The management understands that this policy will help to control all the areas related to day-to-day activity with utmost efficiency, for satisfaction for clients.

APPROVAL AUTHORITY AND REVIEW POLICY:

This policy is approved by the Board of MUNI BROKING HOUSE LIMITED.

The policy may be reviewed by the Compliance Officer/ Director and place the changes in policy before the Board.

POLICY COMMUNICATION:

A copy of this policy shall be made available to all the relevant staff/persons such as: compliance officer / department in-charge /authorized persons.

Further, a copy of this policy has to be displayed on our website.