

Subject: Instructions to our Sub-brokers

Dear (Sub-Brokers),

This is in reference to the off-market transactions for transfer of securities to be effected from one account to another, where the payment aspect is handled outside the CSDL environment between the selling and buying clients. Therefore, in view of the SEBI directives, certain information is required to be sought from the Beneficiary Owner whose demat account is opened with you. The sub-brokers are hereby instructed to take the following details along with the DP Slip:

1. Reason for the Off Market Transfer of shares to target account.
2. Details of payment confirmation from the buying client : Whether the consideration amount is taken in cash/cheque/NEFT.(DOCUMENTARY EVIDENCE IS REQUIRED)
3. Relationship between the Selling client and Buying client.
4. Name and phone numbers of both parties, i.e. selling client and buying client.

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