



ISS Enterprise Limited

(Erstwhile : ISE Securities & Services Ltd.)

Corporate Office : 6th Floor, 601, "Dakshna" Next to Raigad Bhavan, Sector - 11, CBD - Belapur, Navi Mumbai - 400 614, Tel : (022) 61829500, Fax : (022) 61829547, e-mail : helpdesk@iseindia.com
Internet URL : <http://www.iseindia.com>, **Investor grievance e-mail :** invgrieviss@iseindia.com
CIN : U67100MH2000PLC123707



Ref.: 19-20/ISS/Compliance/ 7288/HK
November 12, 2019

To:
All Authorized Persons (AP's) of ISS

Dear Sirs/Madam,

Sub.: Pre-order confirmation proofs

SEBI vide below circulars (please click on the hyperlink to view the circulars or copy paste in your browser)

1. **CIR/HO/MIRSD/MIRSD2/CIR/P/2017/108 dated September 26, 2017**
https://www.sebi.gov.in/legal/circulars/sep-2017/prevention-of-unauthorised-trading-by-stock-brokers_36079.html
2. **CIR/HO/MIRSD/MIRSD2/CIR/P/2017/124 dated November 30, 2017**
https://www.sebi.gov.in/legal/circulars/nov-2017/clarification-to-circular-on-prevention-of-unauthorised-trading-by-stock-brokers_36775.html
3. **CIR/HO/MIRSD/MIRSD2/CIR/P/2018/09 dated January 11, 2018.**
https://www.sebi.gov.in/legal/circulars/jan-2018/prevention-of-unauthorized-trading-by-stock-brokers_37363.html
4. **SEBI/HO/MIRSD/DOP1/CIR/P/2018/54 March 22, 2018**
https://www.sebi.gov.in/legal/circulars/mar-2018/circular-on-prevention-of-unauthorised-trading-by-stock-brokers-_38365.html

had made it mandatory that pre-order confirmation proofs are compulsory for all trades w.e.f .01-Apr-2018. It is recommended that broking entities take prior approval over recorded telephone line before placing an order. For walk in clients who place orders in your office over the counter and for clients whom you could not take telephonic (recorded)approval, please use the enclosed order slip and get the signature of the client while placing the order. You can also take orders over email as proof. Avoid SMS and whats app orders.

Request all of you to please submit the pre-order proofs on weekly basis to our Mumbai Head Office.

The above does not apply to Internet and Mobile trading clients, so you could consider shifting your clients to the BEST mobile and internet platform wherever possible. You can contact surveillance@iseindia.com for the same.

Please note that in absence of any prior order approval proof as specified above it will make you and us open to IGRP and Arbitration cases. In case of dispute with client later on IGRP/Arbitration orders will go in favour of the client blindly. In addition we have to pay a

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SEBI Registration No. IN2000157633

Registered Office : International Infotech Park, Tower No. 7, 5th Floor, Sector - 30, Vashi, Navi Mumbai - 400 703. Tel. : (022) 2781 2056

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penalty of Rs.10,000 or more as the IGRP/Arbitration order will brand it as un-authorized trade in absence of above proof. Please note that in case if you do not keep any proof of order placement, the fine may be imposed on us by BSE/NSE, and then in that case we are compelled to recover fine from you by debiting your account.

For all trades from 01-Apr-2018 please check if you have Pre-trade approval from clients, if not take suitable action at least for clients who had trading / investment losses.

Please contact the helpdesk team at helpdesk@iseindia.com or call at 022- 6182 2952-6/7/8/9 for any query or clarification on the same.

Yours faithfully,
For ISS Enterprise Ltd.



P.Hari Krishnan.
CEO,

Encl: As Above.

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Phone: 022-61829500 Email: invgrieviss@iseindia.com, SEBI REGN NO. INZ000157633

No. :

ORDER SLIP

To

(Dealer Name, A.P or Branch name and Address)

Sub: Instruction to place order, Ref: Trading code : _____

I request you to place order as per details given below (Pre-Trade Confirmation)

Segment

☐ Cash
☐ F&O
☐ Currency
☐ Commodity

S. No	Scrip Name / Position in				Buy / Sell	Expiry date	Delivery / Intra Day	Quantity / Lot	Market Price / Limit Order	Option Strike	Option Premium
	<input type="checkbox"/> BSE <input type="checkbox"/> NSE <input type="checkbox"/> MCX <input type="checkbox"/> NCDEX <input type="checkbox"/> ICEX										
	<input type="checkbox"/> BSE <input type="checkbox"/> NSE <input type="checkbox"/> MCX <input type="checkbox"/> NCDEX <input type="checkbox"/> ICEX										
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	<input type="checkbox"/> BSE <input type="checkbox"/> NSE <input type="checkbox"/> MCX <input type="checkbox"/> NCDEX <input type="checkbox"/> ICEX										
	<input type="checkbox"/> BSE <input type="checkbox"/> NSE <input type="checkbox"/> MCX <input type="checkbox"/> NCDEX <input type="checkbox"/> ICEX										

P. 11/10/11

I hereby confirm that I will meet the obligation(s) arising out of the above trades within the stipulated time frame.

Client Name	Client Signature	Trade Date	Dealer Name
		Client Code	Dealer Code
		Time	Signature