

UPSE SECURITIES LIMITED

'PADAM TOWERS', 14/113, CIVIL LINES, KANPUR-208 001

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USL/2010-11/10

07.07.2010

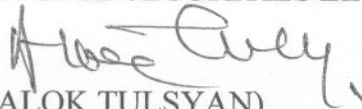
NOTICE TO SUB-BROKERS

Sub: Document for Policies & Procedures, Running Account Authorisation and Quarterly Settlement of Clients' Accounts

Further to our Notice No.USL/2010-11/02 dated 06.05.2010, Notice No.USL/2010-11/05 dated 20.05.2010 and Notice No.USL/2010-11/08 dated 11.06.2010 on the captioned subject, **sub-brokers are hereby informed that non compliant clients (the clients who have not submitted the document for Policies & Procedures and Running Account Authorisation) are being inactivated for trading at BOLT.**

The sub-brokers related to non compliant clients and non compliant sub-brokers are advised to take note that SEBI/ BSE had given 30.06.2010 as last date for compliance to the above notices. The delay in compliance by the company may result in levy of penalty by SEBI/BSE. In that eventuality, **the company shall have no alternative but to recover the penalty from the concerned sub-brokers.**

for UPSE SECURITIES LIMITED


(ALOK TULSYAN)
C.E.O (OFFICIATING)

C.C. to: M.D.- UPSE
G.M(O)- UPSE
Surveillance - UPSE
EDP – BOLT – for flashing on system & putting on Website
Margin – BOLT
Pay-in/Pay-out Funds – BOLT
Pay-in/Pay-out Securities – BOLT
Notice Board