

Risk management Policy

Introduction:

This risk management policy is framed to mitigate the risks involved in the business of securities dealing and broking keeping in to consideration various risk control measures being announced by the regulators and Stock Exchanges from time to time.

Risk Management Policy for Broking Activities for Institutional Clients:

- Only authorized persons shall operate the trading platforms of the company
- Only the authorized persons shall be allowed to enter the dealing rooms.
- Strict surveillance shall be exercised all the time during the trading hours so as to check any unauthorized, unlawful, unwarranted trading activity
- The risk management team shall strictly adhere to the compliance of guidelines, circulars, instructions as may be given or prescribed by the regulators and the stock exchanges from time to time.
- Market price protection greater than or less than 2% in all the trading systems to be implemented to prevent any fat figure trade.
- A daily report shall be prepared and submitted to Managing Director for any deviation of the Risk Management Policy.
