

POLICY OF RISK MANAGEMENT SYSTEM



RAJVI STOCK BROKING (P) LTD.

G/2, Block-B, Jaldarshan Commercial Building, Ashram Road, Ahmedabad- 380009

The Documented Risk Management System is as follows:

The Prudent Risk Management System of Rajvi Stock Broking (P) Limited is:

1. We deal with trusted client only which has been build by working with them over a period of time.
2. We do routinely follow up for the payments of the parties.
3. We do not entertain any sort of cash dealings with any of our clients.
4. We provide SMS services through which the Client can come to know about the dealings done by them in their respective Codes at the end of the day along with their ledger balances.
5. We allow our clients having debit balance to trade/ have further position upto T+7 days only as prescribed by SEBI/Exchange. Once the debit balance continues after the above said limit we will not allow further position to the clients.

However, we have set threshold limit for all clients in general, to trade further even after T+7 days in case they have debit balance of up to Rs. 1,000.00 for day to day convenience in trading keeping in mind their trading activity should not be suffered due to a very small amount of debit balance and business relation with us.

In case where the clients debit balance is more than the above prescribed limit, then his code automatically gets locked by our RISK MANAGEMENT SYSTEM for debit.

6. Also, clients are allowed in general, limit of up to Rs. 5,000.00 for day to day convenience in trading, having debit balance arising out of delayed payment charges / demat charges / any JV / any other charges other than pending payment of securities purchased by the client, should be allowed further position even after T+7 also as the same is not related to purchase of securities where in payment has been made for purchase of securities but debit balance is arises due to delayed payment charges / demat charges etc.
7. We open new trading and demat Accounts only through a known person to us i.e through Introducer or through Sub Broker/AP.
8. In Cash Market, new clients are allowed welcome limit according to credit worthiness of the clients and based on the initial deposit of the clients.

In F&O segment, welcome limit is also allowed to the client based on the initial deposit provided by the client in terms of the cash or cash equivalent and non-cash collateral deposited by the client before executing the trade and margin deposited up to T- day end.

9. We allow clients to trade in trade to trade scrip only after verifying client worthiness and other factors and also after the verification by the compliance officer only.
10. We generally do not allow to trade in penny stock.