

RMS POLICY

Registered Sub-Brokers will be given Turnover and Exposure limits as per online margin system. The online margin system consists of VAR Margin and M to M loss (M to M profit is excluded) as per the requirement of Exchange. The online margin will be debited on real time basis. The said limit will be utilized by the sub broker for their clients as per their internal arrangement. Once the deposit available is exhausted the trading limit of the sub broker is blocked and he is required to bring additional funds for re-activation of trading limit. The Executive Director/Chief Executive Officer/Governing Board will be authorized to decide regarding the Turnover and Gross Exposure Limits from time to time.

INVESTOR GRIEVANCE MECHANISM

An investor can make use of the Investor Grievance Redressal Mechanism for all of his/ her issues which inter-alia would include:

- Non-receipt of corporate benefits ,
- Non-receipt of funds/securities for sale/purchase,
- Introduction of fake, forged and stolen securities,
- Non-rectification of company objections,
- Contract notes not issued by the broker.

Clients can lodge their complaints either directly or through sub-broker or through our website. Once the complaint is received necessary details regarding the same are entered in Complaint Register. The complaint is then forwarded to CEO for consideration. CEO shall look into the matter and try to resolve the complaint as early as possible. The details regarding resolving of complaint is again entered in the complaint register.

RISK CATEGORISATION OF CLIENTS

Once a client is introduced by sub broker, the client shall be given a risk category based on his income level. For this purpose following criteria should be followed for assigning a risk category to client.

Income level	Risk category
Upto Rs.100000	Low Risk
100001 to 500000	Medium Risk
500001 and above	High Risk

For this purpose necessary income proof should be collected from client or an undertaking to this affect should be taken. The financial details of the client should be updated on annual basis and risk category based on latest income is assigned to the client