

## **Internal controls**

At the time of opening the account of client account, we are obtaining (a) Client Registration Form (b) Member Client Agreement (c) Risk Disclosure Document.

- (1) At the time of registering a client, the client shall be informed that only the documents stated above are mandatory and any additional clause or documentation shall be voluntary
- (2) Additional documents shall state at the beginning in bold that the document is voluntary.
- (3) Such documents, if any shall also recognise specifically the right of the client to terminate the document. In such an eventuality, the trading member may terminate the special facility.
- (4) The list containing draft mandatory documents for signing and the checklist containing mandatory documents
- (5) No documentation shall give any exclusive right or control to the trading member or third party over the ledger account or bank account of the client except to the extent of and restricted to the client's obligation to the trading member in respect of the transactions done.
- (6) Everyday after close of the market we are checking the position of the Client and inform the debit / credit of the day and also inform to give the delivery against the sale and check your D P account for crediting against the purchase.

## **Risk Management**

We check the know your client is completed in all respect. Then we upload the data to exchange for activate the client code.

At the time of trade we ensure that the client code is correct then we punched the sauda. After execution of transaction we confirm the transaction over phone to the client.

At the end the day, after close of the market, we check the position of the Client and inform the debit / credit of the day and also inform to give the delivery against the sale and check their D P account for credit of shares against the purchases received in pay out date from clearing house.

After receiving the payment we transfer the securities to clients respective D P account.