

### **RISK MANAGEMENT MEASURES**

1. We are member of National Stock Exchange Limited and DP of CDSL.
2. We cater to retail clients.
3. We have no Branches.
4. Clients are registered with us after proper documents are submitted through KYC. Moreover the Clients are registered with proper references only. The KYC Forms are thoroughly scrutinized by the Officer in charge who then affixes the Stamp of compliant of KYC procedures.
5. Margin deposit is collected. Individual Clients look at their credit worthiness.
6. All clients have DEMAT accounts.
7. If payments are delayed by the client, the shares purchased are kept with us till the payment is received or shares being sold.
8. If client's account operation with us is not found satisfactory, client is being asked to stop the business with us giving him sufficient time to shift the Business.
9. Company has appointed Mr. Tushar Karade as Compliance Officer.
10. We had recruited experienced staff and trained them for our operations.
11. Broking is a trust and the same principle is followed by us on the Risk Management.
12. Considering the Risk involved we only deal with known people and we do not encourage unknown entity.