



1. Client Registration and Closure of Client Accounts

Please refer to our policy on the same.

2. Order Receipt And Execution

Please refer to our policy on the same.

3. Contract Notes, Margin Statement, Statement of Accounts

Please refer to our policy on the same.

4. Risk Management

Please refer to our Policy on granting exposure and liquidation.

5. Liquidation of Client Position

Please refer to our Policy on granting exposure and liquidation.

6. Transfer of Trades

We did PRO Trading only. All trades, including error trades, are accounted under the PRO account.

7. Investor Redressal Mechanism

- The Register of Complaints is maintained centrally.
- At the time of Client Registration, we will inform our clients about the email id where they can send their grievances and the email id is provided on our account opening form.
- On receipt of complaint from the client, the complaint will be informed to the Compliance Officer and the Proprietor.



- The nature of complaint, the basis of the complaint and the issue will be studied and the compliance officer/Proprietor will discuss with the client to solve the complaint and address the issue.
- At the time of recording the complaint in the Complaint Register, all details of the client, UCC, brief explanation of the complaint, the monetary loss involved, the person/organization against which the complaint is made, etc are thoroughly recorded.
- We do not receive funds from clients by way of Cash or Demand Draft.
- We accept account payee cheques and bank transfers only.
- On receipt of the cheque or the bank transfer notification, the same will be recorded in our back office.
- We will check if the cheque is cleared within 3 days of issue. If uncleared, the margin will not be provided. We will require the client to do an immediate bank transfer for the margin shortage.

#### 8. Opening & Closing of Branches/ Authorised Persons

We do not have any branches or authorized persons.

#### 9. Allotment/surrender of trading terminals, opening & closing of Branches



- Limit setting , since we do only pro trading, we will allot full limit given by the exchange to any terminal that we open.
- We do not intend to open any branches nor do we have any.
- Mapping of clients to other terminals in case of surrender of terminals – We don't have any clients.

10. PMLA

Please refer to our policy on the same.

11. Branch/Authorised person, Inspections

We do not have any branches and authorized person.