

GDB SHARE & STOCK BROKING SERVICES LIMITED

SURVEILLANCE POLICY

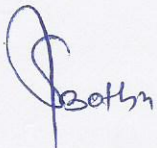
As per exchange notice NSE/INVG/22908 dated 7th March, 2013, GDB Share & Stock Broking Services Limited (GDBSS) has formed the following policy to deal with alerts received from the exchange, if any, with regard to any trade done by any client at any point of time on the exchange platform. The policy is to create awareness among the investors regarding the day to day compliances and also to stop any suspicious / irregular activities by any constituent. The scheme is as under:

GDB Share & Stock Broking Services Limited (GDBSS) will continuously keep track of any alerts generated by exchange/s.

GDB Share & Stock Broking Services Limited (GDBSS) will carry out due diligence of its clients on a continuous basis and ensure that key KYC parameters such as financial soundness, etc. are updated periodically. If any alerts are generated by the exchange/s with regard to trade/s of any client, GDB Share & Stock Broking Services Limited (GDBSS) will seek information regarding such alerts from the client/s and the client shall be advised to provide explanation / information along with documentary evidence such as bank statements and / or depository statements on such trades within 15 days of such alerts. Extension if found necessary will be given.

Financial statements on periodic basis are to be collected from all active clients. If any client is found to be in non-compliance of any norms of GDB Share & Stock Broking Services Limited (GDBSS) and/or the exchange/s, such client shall be suspended from trading with GDB Share & Stock Broking Services Limited (GDBSS).

For GDB Share & Stock Broking Services Limited



(Sunil Kumar Bothra)

Compliance Officer