

RISK MANAGEMENT POLICY

- Clients with turnover Rs. 5 cr & above should be monitored on monthly basis.
- Dealers should be vigilant in executing the orders of the client. They are expected to execute the order on confirmation of client identity and also should check & report to senior authorities if any client is giving order of abnormal quantity or rates.
- All client saudas should be confirmed over phone at day end and should be requested for payments and delivery of securities before settlement date.
- All the payments of funds/delivery of securities received from client, should correspond with the detail's available with us. This should be checked on daily basis.
- Reviewing of Clients position should be carried on weekly basis and client should be followed up seriously
- As a matter of policy clients are mostly introduced through existing clients or through Persons who have long standing credibility.
- Financial Strength of clients should be updated at regular intervals eg IT return, Bank Statement, DP Holding etc.
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BY ORDER

SUNIL BOTHRA
COMPLIANCE OFFICER



GDB SHARE & STOCK BROKING SERVICES LTD