

## **SANKALP SHARE BROKERS PVT. LTD.**

### **RISK MANAGEMENT SYSTEM (RMS)**

We are collecting upfront margins from clients before entering into any transaction on his/her behalf as per the margining system of the relevant exchange and the same is calculated with the software provided by the exchanges . Additionally the Mark To Mark losses etc. are collected from clients on a daily basis . With respect to the Capital Market Segment details such as Bank Statement , Demat Statement , Balance Sheet, Copy of ITR, Copy of Income Proof etc. are taken and thereupon the financial health & position of the client is judged . After analyzing the above the client is allotted a limit based on his financial position and his financial soundness .Collection of cheques from clients is done in a timely manner after the client has transacted through us .The pay-out of securities is made to the client after receiving payment from them else the same would be transferred to client hold back margin account and subsequently if the client fails to make payment within the stipulated time the same securities would be squared off and balance amount is paid / recovered from the client . Further the limits given to the existing clients are updated periodically by assessing his trading history, payment regularity etc. We have also implemented a policy relating to default by the client in making payment of his obligation by reducing or squaring off his outstanding positions to the extent of shortfall in his obligations. We are continuously checking client physical address by sending quarterly statement of accounts on his registered address. We are also updating financial documents of clients on a yearly basis to monitor their financial health.