

# GANESH STOCKINVEST PRIVATE LIMITED

## POLICIES AND PROCEDURES FOR RISK MANAGEMENT– ALL EXCHANGES

Ganesh Stockinvest Private Limited (GSPL) has risk management policies for all the clients of GSPL. These policies have been adopted to minimize the risk to GSPL from possible defaults of the clients who deal with it. The policy attempts to achieve balance between business needs to GSPL vis risk management policies, realizing that risks can be managed, not avoided

The Primary risk management control is at the Branch level, and the secondary control is at the client level

### **Branch (including sub-broker/Authorised Person) level control**

The primary means of risk management is of GSPL is the branch level control. The following limits are set for each branch

1. Gross exposure
2. Net exposure
3. Quantity limits per order
4. Value limits per order

The limits given to the branch is on the following parameters

1. Past tract record of the branch
2. Margins/ deposits of the branch lying with GSPL

Further, client's codes are mapped to the branch IDs. The Branch stands guarantor to all the Client trades of that Branch

### **Client level control (for branch clients)**

In case of clients who are in continuous debit for more than 7 days, the buying for that client code is stopped on non Exchange trading front ends till such time the debit is cleared. Dealers Who are allotted exchange trading terminals are permitted to allow clients to make further purchases.

After ensuring that the account is a routine running account with sufficient margins with GSPL.

### **Client level control (for internet trading clients)**

Limits to internet trading clients is set by the Head Office in consultation with the Branch Head, based on the track record of the client and the margins deposits with GSPL.

### **Exceptional circumstances**

All exceptional circumstances are escalated to Director Mr. Prakash chand Jalan for immediate resolution.

This policy has been adopted by the trading member as on January 15, 2011 and may have been revised over time. Latest version of the policy is available at the trading members' website [www.ganeshstock.com](http://www.ganeshstock.com) under download section.

For **Ganesh Stockinvest Private Limited**

Compliance officer