



Goldmine Stocks Pvt Ltd

Risk Management Policy

Risk based approach :-

We have classified our clients into high, medium or low risk category depending on parameters such as Customer's background, type of business relationship, transactions etc. Application of the client due diligence measures on a risk sensitive basis and adoption of an enhanced customer due diligence process for high risk categories of customers and vice-a'-versa.

Limit setting:-

In our system we have checks and alerts for Gross exposure , net exposure M to M losses , Turnover etc. we have proper software in place for monitoring client's outstanding , available margin /collateral with us. Considering all above criteria we set the limits (exposure) for our clients. Limits shall be monitored on daily basis.

Margin collection:-

We take upfront margin in case of derivatives as prescribed by the exchange. M to M margins are Collected on daily basis.

We may also collect the upfront margin/payment for capital market segment in terms of funds and/or securities from any client to protect ourselves from non-receipt of the payment and/or from the client on basis of volume and past history of client. In case T, TS, M, SM and Z group and/or Illiquid Scrips/Securities we may ask for upfront payment either in full or partial before placing order of the client.

Date : 02-04-2016

Place : Ahmedabad