



SUNRISE GILTS & SECURITIES PVT. LTD.

RISK MANAGEMENT POLICY

RISK BASED APPROACH:

Classification of both the new and existing clients into high, medium or low risk category depending on parameters such as the Customer's Background, Type of Business Relationship, Transactions, etc. Application of each of the Client's 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:

Limits shall be monitored on daily basis, taking following criteria's: Turnover, Exposure, Past Trends, Location, Deposit/Collateral.

MARGINS:

Margin must be collected on all Derivative Trades in accordance with the Rules & Regulation of respective Exchange(s) and SEBI and if management deem fit the additional margin shall be imposed according to their risk criteria defined. Client level margin will be at management discretion in Cash Segment.

Criteria to collect margin will be on the basis of volume of client and past history of clients. Same client should not figure in default list in more than 5 days in a month.

TRADING:

Trading in Illiquid Scrip shall not be permitted or if permitted the proper understanding of the Client nature and the proper observation of the margin and the shares shall be observed before execution of the trade. Advance payment of the funds and securities shall be observed as the case may be in case of such trading and shall be allowed on case to case basis on the description of the management.

PAY-IN OF FUND & STOCK:

Third party pay-in of securities & fund will not be accepted. Same way pay out of shares and fund will be directly done to client account only. No securities belonging to one client be used/transferred for Own purpose or for other client.

COLLECTIONS:

Cash will not be accepted under any circumstances except cheque bouncing. Collection of cheques from clients must be done by T+1 day except clients who have authorized us to have running account balance.