

Maximus Securities Limited

RISK MANAGEMENT SYSTEM

REGISTRATION OF CLIENTS

Selection of Clients:

- Clients are identified-as:
- i) Whether the Client already has a Demat account with us.
 - ii) Client is known to the existing Client.
 - iii) Client is known to any of the employee.
 - iv) Client is introduced by a Sub-broker or a Remisier.

Only if the potential client meets any one of the above criteria, we proceed further to register a client.

Client Registration:

Client is thereafter given the KYC Forms and the particulars of the Form are explained to him. The Form is filled up by the Client. The Authorized Official / Compliance Officer thereafter verify the Form whether the Form is filled up in all respects and whether all the enclosures viz. Proof of Identity, Proof of Address, PAN Card, Demat details, Bank details etc., are attached.

Thereafter, the Client is allotted a Unique Client Code based on which he is required to place orders. Client is then introduced to a particular Dealer. The Client is instructed to place Orders with that particular Dealer.

COLLECTION AND MAINTENANCE OF MARGIN:

The company collects a Margin Deposit of Rs. 10,000/- from each Client at the time of opening of Account towards Margin requirements. In respect of Clients who do transactions for more than Rs. 5 lacs on a single day, a Margin of 10% is collected on the same day. If the shares are sold the deliveries of shares are taken on the same day for early pay in.

COLLECTION OF PAYMENTS

Collection of money is done in advance of trade for margin purpose.

TRADING IN SCRIPS / SURVEILLANCE

The Company does not accept dealing in physical shares and 'Z' Group Shares.

The Company advises clients not to trade in 'penny' stocks.

The Clients are allowed to trade 1 times their deposit amount and if any client desires to do trading for more than his/ her limit then the Dealer is required to take special permission from the Compliance Officer before executing the order.

In case of sub-brokers who desires to take position more than the fixed limit he/ she has to take permission from the Compliance Officer.

Dealers look to market trends every day and the scrips which highly volatile on a particular day the Clients are advised not to take high positions in those scrips to avoid losses.

INSURANCE

The Company has taken Stock Broker Indemnity Policy.

POWER FAILURE

In case of Power failure, we have installed UPS for work for more than an hour.

THANK YOU