

**Suitability Assessment**

This Investor Suitability Assessment guides you in choosing the services that suit your investment objectives, risk tolerance, financial profile and investment experience. The information that is provided forms the basis of our recommendation. It is important to provide accurate and complete information to ensure that suitable services are recommended according to investment needs and objectives.

As per the SEBI Guidelines, Investment Adviser shall ensure that-

It has a reasonable basis for believing that a recommendation or transaction entered into:

meets the client’s investment objectives;

1. is such that the client is able to bear any related investment risks consistent with its investment objectives and risk tolerance;
2. is such that the client has the necessary experience and knowledge to understand the risks involved in the transaction.

Based on risk involved in Stock Market, financial profile and investment experience, clients can be categorized into following categories

1. Moderate risk investor - This type of investor is able to accept investment loss occasionally and is willing to take small risk associated with market. The services recommended to these investors are listed below
2. High risk investor – This type of investor is keen for opportunities to generate a high return and is able to accept substantial risk and can accept quite high investment loss. The services recommended to these investors are listed below

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| --- | --- | --- | --- |
| Scores | Type of investor | Level of risk tolerance | Characteristics of services |
| 0-330 | Moderate | Medium | Offer Medium Risk and reword. Normally principal is exposed to risk but 100% not.4-5 tips recommended in intraday service |
| Above 330 | Aggressive | High | Offer High Risk and return. Principal amount may be at 100% risk suitable only for experience investor/ willing to take risk is market for high returns. Approximately 4-5 tips recommended per services and sometime requested to hold the position |

Types of risks and services covered under them:-

|  |  |
| --- | --- |
| Medium Risk | High Risk |
| 1. INTRADAY CASH | 1. CASH HNI 2. STOCK FUTURE 3. STOCK FUTRE HNI 4. STOK OPTION 5. STOCK OPTION HNI 6. STOCK F&O COMBO PACK 7. MCX TIPS 8. MCX HNI TIPS 9. COMMODITY TIPS (MCX & NCDEX) COMBO PACK 10. BTST/STBT TIPS RESEARCH PACK 11. DATA BASED/INVENTORY CALLS 12. SHORT HOLDING 13. DOMESTIC FOREX 14. PNP PLAN |