

Unlock Wealth Securities Limited

➤ Risk Management (Policy Document)

- We have installed ODIN and NOW as front-end wherever required. Both these software are provided with controllable risk parameters.
- We have online real-time basis risk management software with well defined parameters installed in our trading system provided by outside vendor who has provided similar software and proven functioning of the same.
- The risk parameters are the very well defined and the risk management team sit at Head Office. The executive personnel do not have any authority to change any risk parameters defined and instructed to them and installed on the software.
- Further, the trade surveillance and monitoring of trading activities of different constituents connected to our main server is viewed on continuous basis and alerts and warnings are sent to the erring constituents immediately and corrective actions are taken instantly.
- Further, strict monitoring and follow-ups is being kept on all the Authorised Persons after day end reports and if any warnings or correction in security parameters in the risk management software is required with specific Authorised Person or a client is taken before day end.
- Further, the analysis of trading activity of clients is being regularly done to ensure that no risk of bad debts or faulty activity is carried out by any constituents. However, in case there arise any default by constituent(s), the concerned authorized Person(s) will make good the full payment. Therefore, it is policy of the company not to retain pay-out of any client irrespective of non-payment by him (debit balance).

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