

Unlock Wealth Securities Limited

Ø Risk Management (Policy Document)

- We have installed ODIN as front-end trading software with regulatory risk parameters.
- The front end software is enabled with pre defined risk management parameters on real-time basis which has been procured from exchange approved vendor.
- The risk parameters are the very well defined and the risk management team sits at Head Office. The executive personnel do not have any authority to change any pre defined risk parameter.
- 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, the same 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).