



# Mudra ॐ Securities Pvt. Ltd.

## BROKING AND DEPOSITORY

M-6, Plot No. 114, Zone-II, M.P. Nagar, Bhopal - 462 011 Visit us at [www.mudraom.com](http://www.mudraom.com)

Ref.: Risk Management (Policy Document)

Date : 25/09/2019

- We have installed ODIN as affront-end and also use NEAT 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 by the Chairman & Managing Director and the risk management team sitting at Head Office .The executive personnel do not 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 being viewed on continuous basis and alerts, 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 branches after day end reports and any warnings or correction in security parameters on the risk management software is required with specific branch or a client is taken before day end.
- Further, the analysis of trading activity of major clients is being regularly done to ensure that no risk of bad debts or faulty activity is carried out by any constituents.
- Delivery of unpaid client's securities: - We can Transfer the unpaid client's securities (non-payment of client's securities) from CC/pool account to the client's Demat account directly under the "Direct Pay-out" facility this facility only for the POA Client's whose POA mapped to Mudra om securities Pvt. Ltd. according to the Client financial strength. and Non POA client's unpaid securities transfer to "Client Unpaid securities Account". As per the SEBI circular CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019.

For MUDRA OM SECURITIES PVT. LTD

DIRECTOR