

General Policies and Procedures to be followed by all clients

1. Designated E-Mail ID for receiving Electronic Contract Notes, Reports, Financial Statements etc.,

The clients need to provide a designated e-mail Id on which all electronic contract notes(ECN) and other reports, financial statements etc., shall be dispatched.

The clients shall notify any change in the above e-mail Id in writing through a physical letter.

2. Actual Settlement of funds and Securities

The client shall submit option for actual settlement of funds and securities once in a calendar Month or Quarter and shall abide by the same

3. Running account authorization

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The client may give running account authorization but the same shall be valid for one year only and shall have to be renewed each year. The running account authorization can be revoked by the client any time in writing

4. Certain Policies and Procedures

The client shall agree to the following common policies and procedures:

- a. That the trading member may in its sole discretion refuse to place orders for penny stocks
- b. That the trading member will have absolute right to set up exposure limits and modify them from time to time in its sole discretion and depending upon market conditions and the amount of margin given by the client.
- c. That the trading member does not do client funding and it will be client's obligation to keep his account fully funded. In case of default the trading member shall have absolute authority to levy/ impose penalties/ delayed payment charges
- d. The trading member shall have absolute authority in case of default from the client in meeting obligations to withdraw trading facility and / or close out open positions and take appropriate steps for recovery of outstanding dues including by way of sale of client's securities lying with it
- e. That in case no trading activity takes place in the client's account for a period of more than six months, the account may be classified as inactive account and trading member will have absolute authority to deny further trading in such account or call for additional documents for verification.

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