



JITENDRA HARJIVANDAS SECURITIES PVT.LTD.

SHARE & STOCKS BROKERS
CIN: U99999MH1997PTC111438

Registered Office:
416, Stock Exchange Towers,
4th Floor, Dalal Street, Fort,
Mumbai - 400 001

Office : +91 2272 3005/06
+91-22-2272 1034/35/36
Fax : +91-22-2272 1038
E-mail: Jhspl123@gmail.com

POLICIES AND PROCEDURES FOR RISK MANGEMENTS

Document Prudent Risk Management System

JHSPL exercises abundant caution and due diligence in matters related to risk management and has identified two areas for the same.

Client Related Risk Containment

We enlist clients after comprehensive details of the client's background are obtained. Details of clients as per KYC Norms are rigorously adhered to Independent efforts are made to assess client's financial strength. **Member who are dormant clients, we are taking confirmation letter and activation letter with copy of cancel cheque, demat statement, mobile number, email ID, Income range etc.**

Further trades are executed on behalf of clients commensurate to their financial strength. **Margins are collected from all clients as per current market requirement and as per SEBI circular dated 20 July 2020**

Pay out of funds/securities are released subsequent to receipt of Securities/funds from the client.

Dealing Related Risk Containment

Dealing related steps include a centrally administered dealing set up which monitors online the orders executed across all terminals. Further individual terminals are assigned preset limits to prevent overtrading. Due caution is also taken to prevent exposure in illiquid/ undesirable securities. Further clients are prohibited from executing trades in the upper and lower circuits of the price band, if it looks suspicious.

As regards capital adequacy, efforts are made to provide adequate cushion to ensure that capital adequacy requirements are not breached beyond the 80% level.





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Back Office related Risk Containment

As far as accounts are concerned, we ensure that all payments released go through systematic levels of checking. Further all cheque books are kept in safe custody with director and released as per requirements. Bank reconciliation is done on a daily basis to monitor flow of funds.

Payin/payout of shares is monitored continuously and confirmation of receipt of shares are obtained from clients. Further pay out of securities or funds is released only after confirmation of receipt of shares in our account or receipt of funds in our bank account, as the case may be.

Cash dealings are strictly prohibited by the company.

It is JHSPL Policy not to entertain shares/ cheques received from third party nor do we transfer shares or issue cheques in favour of third parties.

In conclusion, we take utmost care and caution to ensure that the rules, regulations of the exchanges, SEBI, and other regulatory bodies are adhered to in entirety.

For Jitendra Harjivandas Securities Pvt. Ltd.

Director



Place: Mumbai

Date: 30th September 2021