

Risk Management Mechanism

1. Operations and Compliance Requirements

- a. All the operations and compliance requirements is done on regular basis as per the Exchange.
- b. Daily circulars are being read by the Compliance Officer so as to do the needful.
- c. All monthly/half yearly/ yearly submissions are being done on regular basis.
- d. Guidelines issued under PMLA provisions are being followed on regular basis.
- e. All documents relating to KYC are originally verified.
- f. All other compliance and operations requirements are followed on regular basis.

2. Continuity planning /alternate plan in case of disasters etc.

- a. Disaster Management team is fully operational.
- b. In case of back office server back up server is always operational and can be switched upon immediately.
- c. Backup of all documents is taken on External device and is kept in fire proof cabinet and a copy is kept at Directors residence.

3. Margins, Trading Terminals & Limits

- a. Margins are collected as per exchange norms
- b. Exposure limits are allowed as per exchange norms.
- c. No advisory is given to the clients for trading.
- d. Order execution is done as per exchange norms.
- e. Delivery to/from clients is controlled as per exchange norms.
- f. Compliance officers receives the feedback from all the departments and reviews the daily working on the daily basis.

For LPC Securities Ltd.

Director
Jogesh Lalkumar Chheda