

SAROJ SECURITIES

309 KAN CHAMBER, 14/113 CIVIL LINES, KANPUR – 208 001

Member: The National Stock Exchange of India Ltd.

SEBI Regn No: INZ000224427

Policy on limits/exposure/margin/branches/sub-broker level

- Saroj securities may provide the trading limit to branches /sub brokers / new trading terminals as per margin deposit of the branch , subject to availability of limits from Exchange . The percentage of such trading limits may vary from time to time depending on the performance of terminal on case to case basis .

- Saroj securities may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc ,which may vary from client to client). We shall not be held responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits, as it has already been informed to all clients through mandatory policy & procedures.

- In Future & Option Segment, we collect the necessary initial margin, withholding margins, special margins and other margins as considered necessary by our surveillance team ,from all our constituents as per their risk profiling and also report them on a daily basis of the details in respect of such margin due and collected.

- Saroj Securities may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities or it may put any order placed by the client subject to a review before its entry into the trading systems. It also may refuse to execute/allow execution of orders due to the reason of lack of margin/securities or the order being outside the limits set by the Stock Broker/Exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

Updated on 30th Sept 2020