



R.L.P. Securities Private Limited.

Corporate Member – NSE, BSE, MCX, NCDEX. DP - CDSL.
SEBI Regn. NO: INZ000166638. DP : IN-DP-224-2016.



POLICY ON GRANTING OF EXPOSURES TO CLIENTS

POLICY :

This POLICY ON GRANTING OF EXPOSURES TO CLIENTS is framed to be transparent and to have set of guidelines on granting of exposure to clients .

RLP may have its own policy to allow differential purchase limits and sell limits varying from client to client, depending upon credit worthiness, integrity and past trading record etc. of each client and volatility in the market which may vary from time to time subject to the availability and maintenance of **upfront and peak margin** as prescribed by the Exchanges from time to time.

RLP at its exclusive discretion, may provide an exposure limit for intraday and delivery to a client which would be a multiple of the clear ledger balance in the account of the client along with collateral values after appropriate haircut subject to availability of margin and fulfillment of settlement obligations, as specified by the Exchanges from time to time. The value of multiple and haircut shall be decided as per the Market volatility, quality of collaterals, credit worthiness, integrity and past trading record of each client which may vary from client to client and from time to time.

RLP may provide a sell limit to the client equivalent to the value of securities held by the client in his/her POA enabled Demat account with our RLP DP, CUSA Demat account and the collaterals held with us as margin pledge to our CMPA account held on behalf of clients after making appropriate adjustments for the unsettled delivery positions of the Client.

Derivatives / Futures and Options, would mean Derivatives / Futures and Options for Equity, Commodity, Currencies or any other Derivative segments that are being offered by the Exchanges of which we are members.

RLP may provide Exposure for Trading in Futures And Options writing in Derivatives segment based on the upfront availability of Initial Margin (Span + MTM) and additional margin as may be levied by RLP depending on the volatility and the risk involved, in the form of clear ledger balance. Considering collateral's is at the absolute discretion of RLP and are subject to the regulations of the Exchanges, which may vary from time to time.

The buying of Options in Derivatives segment may be allowed only on the upfront availability of the total premium value in the client ledger.

As per the Exchange regulations no fresh positions will be allowed in F&O stocks under Ban period.

For all such contracts in F&O, which end up with physical delivery at the end of expiry date, RLP may not allow fresh exposure before one week of expiry of such contract or tender period or any such period at the discretion of RLP, unless the client maintains 100% deliverable value of the contract money as clear Credit in his account in case of Buy and total deliverable shares or Commodities, in case of sell. RLP reserves the right to allow or not to allow positions in illiquid or any derivatives positions. RLP shall not be responsible for any delay in execution or non execution of such orders, any opportunity/financial loss to the client.

Allowing deliveries in commodities is at the obsolete discretion of RLP.



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In case the Debit Balance in Client Account Exceeds Five Trading Days or any such period as may be decided by the Exchanges from time to time, No fresh exposure will be allowed till such time the Account comes to Credit Balance.

Review Policy:

This policy may be reviewed as and when there are any changes introduced by any Statutory authority or as and when it is found necessary to change the policy due to business needs.

The policy may be reviewed by the **Managing Director / Compliance Officer** and place the changes, if any in policy before the Board of Directors .

Approval Authority:

This policy is as approved by the Board of Directors in its Board Meeting held on 27/08/2021.