



R.L.P. Securities Pvt. Ltd.

Corporate Member – NSE, BSE & MSEI.

Depository Participant – CDSL.



Policy On Internal Shortages

Shortages in obligations arising out of internal netting of trades:

RLP shall have the right to adopt a policy of its choice for internal auctions arising out of internal netting of trades and charge to defaulter seller and compensate the impacted purchaser as per the policy.

In case there is shortage in obligation arising out of Internal netting of Trades and auction is not made by the exchange then both the clients are appraised of the situation. In case of the client in whose account the internal shortage has occurred, the buying transaction is done in the exchange and when after 2 days the shares are received from the exchange, the shares are delivered to the old buying clients who could not receive the shares due to internal shortage.

If the client defaults on its existing obligation and in the event the trade has been internally netted off by RLP, RLP shall have the right to square off the position of the client to make good the shortages arising there of. RLP shall not be responsible for losses to the Client on account of such square off. All losses to the Client on this account shall be borne solely by the Client and the Client shall indemnify the same.

This Policy will be Monitored by the Internal Auditor and the Compliance officer and will be reviewed based on regulatory changes or as per the Requirement.

As approved by the Board of Directors, in its Board meeting on 18/12/2018.

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NSE Cash: INB230961139, NSE Derivatives: INF230961139, NSE CD: INE230961139

BSE Cash: INB010961135, BSE Derivatives: INF010961135, MSEI: INE260961139 CDSLDP – IN-DP-CDSL-344-2006