



# R.L.P. Securities Private Limited.

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



## **Policy on Internal Shortage**

### **Policy:**

**This policy on Shortages In obligations arising out of Internal shortage of trades is framed to have transparency and clarity on settlement of internal shortage of trades (deliveries).**

Any shortages in securities pay in will be handled as per circular NCL/CMPT/66688 dated 4 Feb-2025 or any regulatory guidelines from SEBI/CC/Exchanges time to time.

The Clearing Corporation (CC) of respective stock exchanges will conduct auction for shortages. If securities are successfully obtained, CC shall allocate the securities in auction settlement to clients who did not receive their pay out in normal settlement. If a client does not receive the securities even after the auction, CC will close out such securities.

CC shall identify internal shortages and determine the valuation amount. The valuation price for internal shortages shall be based on the settlement price of the security and an additional 20% mark up or as specified by CC from time to time.

Accordingly, the close out proceeds provided from CC will be accounted in client's trading account.

### **Approval Authority:**

This Policy was placed before the board and was reviewed at its meeting held on **26/06/2025** and was approved by the Board of Directors.