



# Kalash Shares & Securities Pvt. Ltd.

304 / 305, Mathuria Apt., 49, Sir M.V. Road, Andheri (East), Mumbai - 400 069. • Tel.: 022-6150 3636 • Fax : 022-6150 3699  
Web Site : [www.kalashshares.com](http://www.kalashshares.com) • E-mail : [ksspl@kalashshares.com](mailto:ksspl@kalashshares.com)

## **PRUDENT RISK MANAGEMENT SYSTEM**

The operations of the company are on small scale and the company has a very strict system of analyzing the clients and only if the client meets the various parameters, then only an account is opened. The risk management systems considering the current operations of the company are:

1. The clients are given application forms for being appointed as a client only after they have met the director / sub-broker through whom the client has approached us for opening an account.
2. The client registration team of the company personally meets the clients and assesses the financial position, risk appetite, investment objectives, past credentials, qualification, current working position, etc. The feedback of the same is made and given to the managing director for his clearance. After the same is found to be proper by the managing director, the permission for forwarding the Know Your Client form along with the agreements and various requirements is given to the client.
3. Every client is designated a proper dealer/s, and the dealer/s before accepting the order for the client is given the background of the client so that the dealer is in a proper position to analyse the capability, the risk appetite and the investment pattern of the client so that proper risk assessment can be made considering the client.
4. The completed form is then received and only after proper verification of the documents and checking the genuineness of the person, the account is opened.
5. The clients are personally known to the director / sub-broker and the overall exposure is determined for the person on the basis of the financial capability and on the money lying with us in the client ledger account.
6. In case of large value transactions, the clients are at times insisted on giving advance money / securities as may be required.

