



RISK MANAGEMENT POLICY

TAURUS CORPORATE ADVISORY SERVICES LIMITED.

Member: NSE, BSE, MCX, MSEI, CDSL

Company	Registered as	Member of	SEBI Reg. No.
Taurus Corporate Advisory Services Limited	Stock Broker	NSE, BSE, MSEI, MCX	INZ000258036
	Depository Participant	CDSL	IN-DP-646-2021
	Merchant Banker	SEBI	MB/INM000011740

Mitigating Risk being the primary objective and taking into consideration the fact that the markets being very volatile, assessment of the Risk factor of each individual investor by the Risk Management Officer, becomes a crucial part before inception of trading.

Ms. Heena Gandhi is appointed as the Risk Manager for the company and need to fulfil all the examinations Criteria as suggested by the regulators from time to time

❖ RISK BASED APPROACH:

Classification of both the new and existing clients into high, medium or low risk category depending on parameters such as the customer's background, type of business relationship, transactions etc. Application of each of the client due diligence measures on a risk sensitive basis and adoption of an enhanced customer due diligence process for high risk categories of customers and vice-à-versa.

❖ LIMIT SETTING:

Limits shall be monitored on daily basis, taking following criteria's:
Turnover, Exposure, past trends, Location, Deposit/Collaterals given, market conditions, knowledge of the investor, risk appetite etc.

❖ MARGINS:

Margin must be collected on all trades. Client level margin will be at management discretion in cash segment. Criteria to collect margin will be on the basis of volume of client and Past history of clients. Same client should not figure in default list in more than 5 days in a month.

❖ TRADING:

Trading in illiquid scrip shall not be permitted. On detection of such trading, the risk manager shall use his discretion to shut down the terminal after intimating branch manager and sub broker accordingly.



❖ **PAY-IN OF FUNDS AND STOCK:**

Third party pay-in of securities & fund will not be accepted. Same way pay out of shares and fund will be directly done to client account only. No securities belonging to one client be used/transferred for Own purpose or for other client.

Details of Risk Manager:

Name : Ms. Heena Gandhi

Contact No. :022-61471166

Email id: heena@taurusgrp.com

Details of key personnel:

Sr. No.	Particulars	KMP-1	KMP-2
01.	Designation	Principal Officer	Compliance Officer
02.	Name	Mr. Mihir Mehta	Ms. Deepali Vartak
03.	Contact No.	022-61471100	022-61471177
04.	Fax No.	022-26104925	022-26104925
05.	Email id	mihir.mehta@taurusgrp.com	deepali@taurusgrp.com
06.	Grievances	grievance@taurusgrp.com	
07.	Information	info@taurusgrp.com	

