

## **Shakti Securities**

### **Policy for carrying out financial transaction with the clients**

Our RMS department should monitor the trading activity of the client and exercise due diligence to ensure that the trading activity of the client is not disproportionate to the financial status and the track record of the client.

Payments department should ensure that payment received from the client is being received in time and through the bank account the details of which are given by the client in KYC form and the payment through cash / bearer demand drafts should not be entertained in any circumstances.

We are strictly prohibited any cash / bearer demand draft transaction with the clients and our internal audit department / compliance officer's take strict control on these type of transactions.