

Write up on cumulative value of unexecuted orders placed below threshold limits in Cash Segment, Equity Derivatives Segment, Currency Derivatives Segment

We declare that cumulative value of all unexecuted orders placed from the terminals are below a threshold limit and that the threshold limit of the cumulative value of all unexecuted orders set by the member is adequate/effective as per the members capital adequacy.

We shall review and define the following limits on periodic basis.

- ☐ Quantity limit for each order
- ☐ Value limit for each order
- ☐ User value limit for each user ID
- ☐ Branch value limit for each branch ID
- ☐ Security wise limit for each user ID

In addition to the above requirements, Compliance officer of the member shall submit a certificate on the above, to the Exchange on a quarterly basis and the said certificate shall include confirmation on the following :

- ☐ that the limits are setup after assessing the risks of the corresponding user ID and branch ID
- ☐ the limits are setup after taking into account the member's capital adequacy requirements
- ☐ all the limits are reviewed regularly and the limits in the system are up to date
- ☐ all the branch or user have got limits defined and that No user or branch in the system is having unlimited limits on the above stated parameters
- ☐ daily record of these limits is preserved and shall be produced before the Exchange as and when the information is called for.

Further, we shall do compliance with respect to the above requirements be monitored as a part of annual system audit and System.
 For RRS Shares & Stock Brokers Pvt Ltd.

Director



REGD. OFF

: 24/B, Rajabhadur Mansion - 2, 114, Rajabhadur Compd., Ambalal Doshi Marg, Fort, MUMBAI - 400 023.

DEALING OFFICE : 022 - 2267 9055, 6633 0456, 6182 9100

BACK OFFICE : 022 - 6182 9200 to 6182 9215 FAX : 022 - 6631 1193

BRANCH OFFICE : 406, Paradise Complex, Sayaji Gunj, Baroda - 390 005.

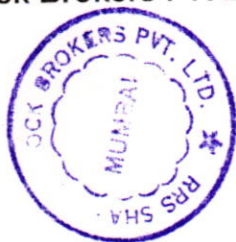
Tel. : 236 1002/1637/1987 Telefax : 236 2985, website : www.rrs.in, email : rrsshares@sify.com

Execution of Orders in Capital Market Segment
(Modification in Cash Segment Limits in Securities-User Id wise)

Further to Compliance circular Ref No. NSE/COMP/21990 dated October 23, 2012, regarding policy for review and defining limits for Orders in the Capital Market segment, it is hereby informed that the setting of security wise limit for user id would be optional. Members may set security wise limits for user ids based on their risk management policies and internal controls.

For RRS Shares & Stock Brokers Pvt Ltd.

Director



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Tel. : 236 1002/1637/1987 Telefax : 236 2985, website : www.rrs.in, email : rrsshare@sify.com

POLICY ON LIMIT SETTING

As per Exchange circular reference no. NSE/CMTR/20616 dated April 24, 2012, for complying the same we are required to review and define the following limits :

- ☐ Quantity limit for each order
- ☐ Value limit for each order
- ☐ User value limit for each user ID
- ☐ Branch value limit for each branch ID
- ☐ Security wise limit for each user ID- CM Segment only
- ☐ Spread order Quantity and Value Limit- FO & CD segment only

For Orders in the Capital Market segment - Setting of security wise limit for user id is made optional and members may set security wise limits for user ids based on their risk management policies and internal controls.

In addition to the above requirements Compliance officer will submit a certificate on the above, to the Exchange on a quarterly basis and the said certificate shall include confirmation on the following :

- ☐ that the limits are setup after assessing the risks of the corresponding user ID and branch ID
- ☐ the limits are setup after taking into account the capital adequacy requirements
- ☐ all the limits are reviewed regularly and the limits in the system are up to date
- ☐ all the branch or user have got limits defined and that No user or branch in the system is having unlimited limits on the above stated parameters
- ☐ daily record of these limits is preserved and shall be produced before the Exchange as and when the information is called for.

Further, to meet the compliance with respect to the above requirements shall be monitored as a part of annual system audit.

For RRS Shares & Stock Brokers Pvt Ltd.



Director



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