

RRS**Shares & Stock Brokers Pvt. Ltd.**

MEMBER : National Stock Exchange of India Ltd.
SEBI Registration No. : INB 231130130 CODE No.11301
SEBI Registration No. F & O : INF 231130130 CLG. No. TM-11301
SEBI Registration No. Currency : INF 231130130
CDSL DP ID : 29000 SEBI Regn. No. IN-DP-CDSL-195-2002
MEMBER : MCX Stock Exchange Ltd.,
SEBI Registration No. : CM: INB 261130133 Code No. 12540
SEBI Registration No. : F & O : INF 261130133 TM : 12540

SURVEILLANCE POLICY

designed and approved by the Board of Directors of RRS Shares & Stock Brokers Pvt Ltd

There will be constant monitoring of alerts received from exchanges on Member Portal of NSE as well as RRS's office. These alerts will be disposed immediately or within maximum time limit of 48 hours and any delay beyond this will be documented and reported with reason to the Board of Directors.

These will also include suspicious and manipulative activity identification and reporting process there of.

The staff training will be provided at regular interval. The entire surveillance process will be conducted by the Compliance Officer or the Principal Officer under overall supervision. This will also be reviewed by our internal auditor who will audit its effectiveness, implementation and also review the alerts generated document from the exchange report as well as RRS's office.

This will be put up in MIS on quarterly basis to the Board of Directors of RRS at the end of the quarter i.e. in the beginning of April, July, October and January. The Board will discuss the alerts generated during the quarter, disposed during the quarter and pending at the end of the quarter and the appropriate action taken for the same.

The overall responsibility of this surveillance will be on the Designated Director or the Compliance Officer of RRS,

Approved and taken on the record,

For RRS Shares & Stock Brokers Pvt Ltd.


Director

Place : Mumbai

Date : March 12, 2013

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** : rrsshare@sify.com

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Extract from the minutes of the Board Meeting of Directors of RRS Shares & Stock Brokers Pvt. Ltd held on 12th March 2013 at 4.00 p.m. held at its registered office 24/B, Raja Bahadur Mansion-II, 114, Raja Bahadur Compound, Ambalal Doshi Marg, Fort, Mumbai-400023.

RESOLVED THAT surveillance policy is placed with the Board and the staff members including Compliance Officer and Principal Officer. The same is approved by Board of Directors.

RESOLVED further that CERTIFIED TRUE COPY of the above Resolution be forwarded to RRS Shares & Stock Brokers Pvt Ltd.

For RRS Shares & Stock Brokers Pvt Ltd.



Director
Hitanshu R Shah
Place : Mumbai
Date : March 12 2013



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