



Wealthstreet

The Financial Engineers

INTERNAL CONTROL POLICY

A. Background of company:

Wealthstreet Financial Services Private Limited -The Financial Engineers are considered to be one of the most professionally managed organization and a distinguished business house in the field of financial services.

Separate policies are developed for the following:

1. Insider Trading
2. Error Trade Policy
3. Dormant client activation
4. RMS Policy
5. Pre-funded instrument receipts
6. PMLA
7. Customer Acceptance policy
8. Conflict of Interest Policy
9. Investor Grievance Policy

Reference to be taken individually from each policy with respect to internal control of the company.

B. Operations & Compliance requirements:

1. The broking activity of BSE, NSE and MCX is being conducted within the prescribed rules and regulations.
2. All compliance requirements are being fulfilled.
3. A Principal Officer and a Compliance Officer has been designated for taking care of the operations as well as compliance requirements.
4. Each day, the concerned designated person checks for new circulars and notices being released by the Exchange.
5. All the circulars and notices, as well as various other intimations received from the Exchange are read carefully and understood by the designated person.
6. Details of all such circulars and notices are also being provided as well as explained to all the concerned staff members of each department in order to ensure full and complete compliance from the grass root level.

Wealthstreet Financial Services Private Limited

(Formerly known as Wealthstreet Advisors Private Limited)

CIN : U74999GJ2016PTC094432

Regd. Off : A-1101, Mondeal Heights, 11th Floor, Besides Wide Angle, S.G Highway, Ahmedabad-380015

P : +91 79 66775500 • **E :** info@wealthstreet.in • **W :** www.wealthstreet.in



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C. Collection and maintenance of Margins:

1. Margin is collected from all clients who trade in any exchange segment.
2. Margin money is collected by us in monetary form by way of cheque or as collateral (securities). This margin is collected on the trading day itself. Towards fulfilment of margin requirement by way of collaterals, we collect only NSE approved securities with a haircut.
3. We are providing Margin Trading Facility in the Cash segment of NSE as well as BSE.
4. Similarly, when a large amount of shares are being sold by a client, the delivery instruction for the same is also collected upfront before executing the order of such clients.

D. Trade Execution and Confirmation:

1. For executing the orders of the clients the trading platform used is 63 moons technologies (ODIN).
2. Clients place their orders for trading in shares either by visiting any of our offices or through phone call to respective RM or mobile app or single user exe terminal (Nest trader investor).
3. An order file is generated for all orders entered into the trading system.
4. Similarly, a trade file is generated for all the trades executed through the trading platform during the day.
5. Hourly Confirmation of trader is mailed across to the clients on their registered e-mail id.
6. Contracts, bills and margin statements are mailed across exchange to the clients on their registered e-mail id. Logs for the same are maintained. Client can also download/view the same on the website.

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