



J. G. Shah Financial Consultants Private Ltd.

Member of BSE, NSE, CDSL • CIN NO. U74120MH1982PTC028932

As per compliance requirement our office has drafted the alert policy as under:-

The following transaction shall be scrutinize by our compliance officer

1	Significant increase in client activity
2	Sudden trading activity in dormant account
3	Clients/Group of Client(s), dealing in common scrips
4	Client(s)/Group of Client(s) concentrated in a few illiquid scrips
5	Client(s)/Group of Client(s) dealing in scrip in minimum lot size
6	Client/Group of Client(s) Concentration in a scrip
7	Circular Trading
8	Pump and Dump
9	Wash Sales
10	Reversal of Trades
11	Front Running
12	Concentrated position in the Open Interest / High Turnover concentration
13	Order book spoofing i.g. large orders away from market

We have to carry Due Diligence on continues basis, ensure that key KYC parameter are updated on continues basis, latest information of the client is updated in UCC database of the exchange and to analyze the trading activities of the clients / group of clients or scrips identified based on alerts and compliance officer shall seek explanation form such identified clients / group of clients, if required documentary evidence such as bank statement / demat transaction to satisfied the validity of the transaction.

J. G. Shah Financial Consultants Pvt. Ltd.


Director / Authorised Signatory