



Ohm Stock Broker Pvt. Ltd.

CIN : U51900MH1999PTC117927, SEBI : INZ000246138, CDSL DP ID : 12089800
Member : BSE - Clg. No. 458, NSE – Clg. No. 10573, MSEI – Clg. No. 56440, AMFI ARN : 164099

SOP FOR GENERATION OF ALERTS

We at **Ohm Stock Broker Private Limited** are following Standard Operating Procedure for Alert Generation and disposition for Dealing and Trade execution, CDSL instructions, KYC Compliances and settlement of accounts of Clients:

Alert Generation:

1. Alerts are generated by manually scanning the client's background through their KYC documents.
2. Management plays an important role in deciding and perceiving authenticity of trades and establishing its veracity.
3. Alerts generated are in sync with our surveillance policy
4. Surveillance policy is in turn set in tandem with the rules and regulations laid down by SEBI, Depositories and Stock Exchanges
5. In tandem with our Surveillance policy and

Types of Alerts

While some alerts can be unique for each transaction but the general alerts are concurrent with the periodic alerts generated by Stock exchanges and Depositories:

General alerts can be:

1. Dormant client activation
2. High value transaction
3. High quantity transaction
4. Off market transactions
5. Illiquid scrip transaction
6. Duplication of PAN
7. Multiple mobile numbers or email IDs

Generally, these alerts match with the alerts generated by Exchanges and Depositories

Unique alerts that can be assigned to a particular client or entity:

1. Client Jurisdiction – whether the client resides in a notified country
2. Client background – whether the client belongs to notified list of terrorist
3. SEBI debarred entities
4. Instructions from EOW
5. Authority letter- incase of telephonic instruction given by a third person on behalf of client, then we need to check the authority letter given by the client for the same.

These type of alerts are self-generated by us and not by exchanges or Depositories

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Disposition of Alerts:

After alert generation we ensure it's timely resolution in the following manner:

1. Periodic Exchange and Depositories alerts generally match with our General alerts category. The reply is submitted before due date.
2. All alerts are verified for client's genuineness and intention through KYC records
3. Written reply from client is solicited for every alert generated by Exchanges and Depositories
4. If need be, extra documents can be asked from clients to establish the veracity
5. We also check whether client's position is commensurate to its financial strength
6. After verification of alerts by staff and compliance officer , the case is discussed with senior management to ensure further satisfaction

We always aim for timely disposition of alerts.