

## **MAXIZO Trading LLP**

### **INTERNAL CONTROL POLICY**

The company shall follow its following Policies for Internal Control for operations:

1. Policy and Procedure for Prevention of Money Laundering Act, 2002.
2. Policy on Risk Management and Margin collection.
3. Policy on Limit Settings – Execution of Orders.
4. Policy to Modification of Client Codes viv-a-vis Error Policy
5. Policy for Acceptance of Pre-funded Instruments (Demand Drafts).
6. Policy on Outsourcing.
7. Policy on Inactive Client Accounts.
8. Policy on surveillance for Cash and Derivative Markets.
9. Policy and Internal Procedure/Internal Code of Conduct for the company, its authorised persons and its employees for dealing with Conflict of Interest in performance of their activities.
10. Policy in respect of passing of NISM Series – VII – Securities Operations and Risk Management Certification Examination.
11. Policy on Unauthentic New Circulation.
12. Policy on Redressal Mechanism for Investors Grievance.

Rules, Regulations and Circulars issued by the Exchanges, SEBI and other regulatory Authorities from time to time are also being followed.