



SVV Share & Stock Brokers Pvt. Ltd.

Member : The Stock Exchange, Mumbai Clg. No. 662

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CIN No. : U67120MH1997PTC105633

Standard Operating Procedure For Surveillance Alerts Generated

The designated officials who are tasked to review the alerts generated at Broker, DP's, Exchanges and CDSL's end on a daily basis shall review the same.

Upon review and necessary due diligence, if the designated official finds that the alert is required to be closed, the official shall close the same with appropriate remarks.

The designated official after due diligence and making such inquiry as necessary, comes to a conclusion that the alert warrants an action, the official will forward the same with his/her views to the Compliance Officer for his/her approval.

The Compliance Officer, after review of the alerts along with the submitted comments of the designated official, decides to close the alert, he/she shall close it with appropriate remarks. If the Compliance Officer finds that action in respect of such alert is warranted, he/she shall take such actions including filing STR with FIU-India, informing to Stock Exchanges and CDSL and/or discontinue the relationship with the client.

In any case, these alerts will be processed immediately from the date of generation of the alert by Exchanges and/or Depositories. And with respect to the alerts generated at the broker's end, the broker shall report instances with adverse observation, along with details of action taken, to exchanges within 7 days of the date of identification of adverse observation. Detailed procedure w.r.t reporting of alert will be provided separately.

In case of any delay in disposing off any alerts, reasons for the same shall be recorded.

We follow the maker checker mechanism during processing and dispose of surveillance alert.

For SVV Share & Stock Brokers Private Limited

Neeraj C. Walchan
Director

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