

## CONTINUITY PLANNING / ALTERNATE PLAN IN CASE OF DISASTERS ETC.

Our firm kept two Leased Line, one for primary (MTNL) and another one is secondary (TTML) as a Backup of Primary, for which get activated automatically on failure of the primary line.

Further in case of Internet Based Clients, we have kept a dedicated Internet Service as Back-up Line to the main Internet connection. The same can be used on failure of main Internet Connection.

Further, the client during registration process will be given a list of our branches all over India alongwith the telephone and fax numbers.

For the safeguard of power failure, we are having a very good UPS (make APC) having battery system, which can go on uninterrupted period of five hours.

As far as data is concerned, we are keeping our all records related to operations and accounts on one main server. Further we transfer that data to external drive everyday after market hours. Data can be retrieved from our main server as well as from external drive which is updated on daily basis.

We have a ODIN backup server ready at our site in event of any failure of the main server the same can be used & the database can be restored from our local /external backups.



## CONTINGENCY PLAN

The Company is providing Internet Trading through Order Routing System to its Registered Clients and in case of any failure of the system the Registered Client would be given an option to execute his trade through the dealers at the various existing branches / locations.

As a measure of contingency it has been worked out that in case the investor is not able to establish the link to their site or in case the link is missed investor can contact the following persons at the respective places as mentioned below: -

NAME	CONTACT PERSON	ADDRESS	TEL. NO.	FAX NO.
SVS Securities Pvt. Ltd.	Sanjay V. Shah	32-33-34/B, Khatau Building, ALkesh Dinesh Modi Marg, Fort, Mumbai – 400 001	022-40462132	022-2662384
SVS Securities Pvt. Ltd.	Parag P. Valanju	32-33-34/B, Khatau Building, ALkesh Dinesh Modi Marg, Fort, Mumbai – 400 001	022-40462133	022-2662384

In the process of giving further link the authorized person **Sanjay V. Shah** will make certain questions to the clients & if satisfied about the authenticity of the client he will again allot new Password to him.

**SVS Securities Pvt. Ltd.**

**Director**

**Date:**

**Place: Mumbai**



### **Back Up System and Data Storage**

For the safeguard of power failure, we are having a very good UPS having battery system, which can go on uninterrupted period of five hours.

As far as data is concerned, we are keeping our all records related to operations and accounts on one main server. Further we transfer that data to external drive everyday after market hours. Data can be retrieved from our main server as well as from external drive, which is updated on daily basis.

Further we have already kept a Disaster recovery server ready at our site on facing any problem in the main server can be put in place. Further our Internet based trading service has connection to NSE via a lease line. We have also got the CTCL ID dual locked on the VSAT which works as a backup to lease line if it is down.

**SVS Securities Pvt. Ltd.**

**Date :**  
**Place: Mumbai**

**Director**



## **Annexure – XII**

### **RISK MANAGEMENT SURVEILLANCE**

#### **ONLINE SURVEILLANCE**

The surveillance team watches the online trades as they happen and extra ordinary volume in the particular scrip is immediately investigated by calling up the branch and asking for details of clients and as per the details made available, the clients previous purchase or sales transactions are looked into. We have locked major terminals from doing Z, T & TS Group trades & the same has to be done by a senior dealer at the main office.

We have allocated TWS Limits & Group limit for A, B1, B2, T, TS and Z group. The Surveillance Team gives limit in a very conservative manner, especially, in Z, T and TS group. Any limit accretion requests are first investigated and then upon being satisfied with the bonafide of the trade as well as the client, limits are accordingly increased.

Since the same staffs are monitoring the trades daily, any pattern in trading / limit enhancement is reported once a week to the director for further investigation.



### OFFLINE SURVEILLANCE.

Since we discourage the trades on On-Line basis, they are further investigated at the time of generation of billing by the Billing Department & the scrips are scanned for the quantity traded vis-a-vis exchange volume on that day, the frequency of trade done by the client & see if a trend is discernible.

After due investigation (which normally takes two weeks), Surveillance Team reports to the Director its finding and thereafter such scrip is disabled for trading for that client / branch and in some cases on the whole network.

### CLIENT WISE SURVEILLANCE

The surveillance clientwise takes cue from the alerts generated scripwise. All the clients who have traded in the scrip placed in “SCRIP ALERT” are scrutinized for their other scrip dealings. Looking at the general quality of scrips that they are dealing in, Surveillance Manager reports to the Director for further action on whether we want to continue to deal as a broker for that client or not.

Further any big value transactions are checked for whether the client is not trading beyond ones known Income (i.e. Income declared in KYC)