

DAY BEGIN & DAY END PROCESS

Version	2023/02.01
Review Date	22/03/2024
Review & Approved by	Reviewed by Technology Committee & Approved by Board of Directors

Day Begin Process:

1. Morning Preparation: Arrive at the office early to allow ample time for preparations before the markets open.
2. System Checks: Ensure that all trading systems and platforms are functioning properly. Verify connectivity to exchanges, market data feeds, and other essential tools.
3. News and Market Analysis: Review relevant news, market updates, and economic indicators to stay informed about market conditions and potential trading opportunities.
4. Risk Assessment: Assess the risk environment and market volatility. Determine appropriate risk parameters and trading limits for the day.
5. Communication: Coordinate with team members, including traders, analysts, and support staff, to share relevant information and align strategies for the trading day.

During Trading Hours:

1. Order Execution: Execute trades based on approved strategies and client instructions. Monitor execution quality and ensure compliance with regulatory requirements.
2. Market Monitoring: Continuously monitor market movements, including price fluctuations, volume, and news events that may impact trading decisions.
3. Risk Management: Keep a vigilant eye on risk exposures, position limits, and margin requirements. Implement risk mitigation measures as needed.

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4. Client Support: Provide prompt and accurate responses to client inquiries, order status requests, and general trading assistance.
5. Performance Tracking: Monitor trading performance, track key metrics, and evaluate the effectiveness of trading strategies throughout the day.
6. Compliance and Regulatory Compliance: Adhere to all relevant regulatory requirements, including trade reporting, record-keeping, and compliance guidelines.

Day End Process:

1. Trade Reconciliation: Reconcile all executed trades, ensuring accuracy between trading records, clearing systems, and client accounts.
2. Reporting and Documentation: Prepare necessary reports, including daily trade summaries, profit and loss statements, and other compliance-related documentation.
3. Risk Assessment: Assess the day's risk exposures and identify any potential issues or concerns for future risk management.
4. System Maintenance: Conduct routine system maintenance, including software updates, security patches, and backups to ensure system reliability and data integrity.
5. End-of-Day Communication: Share relevant updates and reports with key stakeholders, including traders, management, and compliance personnel.
6. Review and Analysis: Analyze trading performance, review key events of the day, and identify areas for improvement or adjustments to trading strategies.

 