

Policy on Handling of Good Till Cancelled Orders Offered to Clients

Focus Stock Brokers Limited offers **Good Till Cancelled (GTC)** and **Good Till Triggered (GTT)** orders or orders of a similar type to its clients. These orders allow clients to place buying and selling instructions by specifying a price and time frame during which the order remains valid for placement on the Stock Exchange platform.

In the event of corporate actions, these orders could result in unintended trades or cause investors to incur losses. Different brokers handle such orders differently, either by cancelling them or keeping them active. To provide clarity and ensure uniformity, **Focus Stock Brokers Limited** has adopted the following policy in line with SEBI guidelines and industry standards.

2. Policy Details

1. **Types of Orders Offered:** Focus Stock Brokers Limited offers the following types of orders to clients:
 - **Good Till Cancelled (GTC) Orders:** Orders that remain valid until cancelled by the client.
 - **Good Till Triggered (GTT) Orders:** Orders that remain active until a specified trigger condition is met.

Validity: GTC/GTT orders remain valid until the client cancels them, or until they are executed or modified based on this policy.

2. **Handling of Orders During Corporate Actions:** In the case of corporate actions such as dividends, stock splits, mergers, etc., Focus Stock Brokers Limited will handle GTC/GTT or similar orders as follows:
 - **Cancellation:** All pending GTC/GTT orders related to the affected securities will be cancelled automatically prior to the corporate action.
 - **Price Reset:** If applicable, orders may be re-priced to align with the new price post-corporate action, following SEBI or Exchange guidelines.
 - **Retaining Orders:** Orders will not be retained unless explicitly requested by the client in compliance with Exchange rules.
3. **Client Notification Regarding Corporate Actions:** Focus Stock Brokers Limited will notify clients of any upcoming corporate actions that affect their unexecuted GTC/GTT orders. The notification will:
 - Be sent no later than **one day prior to the ex-date** of the corporate action.
 - Be communicated through email, SMS, or other suitable electronic channels.

In case of undelivered communications (e.g., bounced emails), alternative channels such as physical delivery, SMS, or instant messaging services will be used as per the guidelines mentioned in Exchange Circular MSE/INSP/11934/2022.

3. Client Communication and Disclosure

- **Account Opening Form/Kit:**
This policy will be made a part of the “Policy on Handling of Good Till Cancelled Orders of Client” section within the Policy and Procedures document of the Account Opening Form/Kit.
- **Website Disclosure:**
The policy will be available for all clients on Focus Stock Brokers Limited's website and trading application.
- **Existing Clients:**
Existing clients will be informed about this policy via email or other suitable communication mechanisms that can be preserved. If the communication is undelivered, it will be followed up using alternative channels such as SMS, instant messaging, or physical delivery.

4. Review and Updates

Focus Stock Brokers Limited will review this policy annually to ensure compliance with regulatory requirements and update clients as necessary.

For and on behalf of:
Focus Stock Brokers Limited

sd/-
Siddhant Mantry
Director