

Policy on Handling of Good till Cancelled Orders of Client

(Client-Facing Policy Document)

1. Objective

This policy outlines the framework for accepting, processing, and monitoring Good Till Cancelled (GTC) and Good Till Traded (GTT) orders placed by clients. It ensures operational transparency, risk management, and compliance with regulatory standards.

2. Order Acceptance

- Orders will be accepted only from the client's registered email ID.
- The Dealing Desk will be the single point of contact for receiving such instructions.
- No verbal, telephonic, or unregistered email instructions will be entertained.

3. Order Tracking & Placement

- The Dealing Desk will maintain a daily log of all pending/unexecuted GTC/GTT orders.
- At the Beginning of Day (BOD), the dealing desk will re-enter all pending orders into the trading system.
- Once an order is executed (fully or partially, depending on type), the desk will update the log and notify the client.
- GTT orders will expire after execution (even if partial), while GTC orders will remain active until cancelled by the client.

4. Corporate Action Risk

- Corporate actions such as dividends, stock splits, mergers, rights issues, bonus issues, buybacks, or delisting may materially affect pending orders.
- The Dealing Desk will monitor corporate action announcements daily.
- If a corporate action impacts the security price, all pending GTC/GTT orders will be discarded to prevent unintended execution.
- Clients will be required to submit fresh orders post-corporate action.

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5. Minimum Order Parameters Required

| Client Name | Trading Code | Order Start Date | Scrip Name | ISIN | Transaction Type | Quantity | Order Type | Rate | Order End Date |
|-------------|--------------|------------------|--------------|--------------|------------------|----------|------------|------|----------------|
| ABC | NEO000 | 16-01-2026 | RBL BANK LTD | INE976G01028 | Buy | 100 | Limit* | 300 | 31-01-2026 |

* - GTC/GTC orders need to be Limit Orders only. Market Orders will be rejected.

6. Client Communication

- Clients will receive system-based status updates via email in case of order execution.
- In case of Order rejection due to Corporate Action/Expiry of order validity period, dealing desk will inform the respective CSO, who, in turn will inform the clients.
- Any cancellation or modification must be communicated through the registered email ID.
- Neo Wealth will not be liable for execution delays caused by incomplete instructions or unmonitored corporate actions.

7. Disclaimers & Clauses

- Neo Wealth will not be liable for unintended executions arising from incorrect, incomplete, or ambiguous instructions.
- Orders impacted by corporate actions will be discarded automatically. Clients must provide fresh instructions post such events.
- Neo Wealth does not guarantee execution at the specified price if market conditions change or liquidity is insufficient.
- Neo Wealth shall bear no responsibility for execution delays or errors arising from exchange system issues, connectivity failures, or unforeseen force majeure events beyond its control.
- Clients are responsible for ensuring sufficient funds/margin at the time of order placement; otherwise, orders may be rejected.
- Neo Wealth reserves the right to reject or cancel orders that do not meet compliance or regulatory requirements.