

## Besseggen's Organisational Goal

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### Document Control

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## 1. Introduction:

This document outlines the organizational goals and regulatory compliance framework for Besseggen Infotech, a proprietary trading firm specializing in arbitrage. These goals and guidelines aim to ensure the firm's long-term success, profitability, and adherence to regulatory standards set by SEBI, NSE, and BSE.

## 2. Organisational Goal

### Financial Performance:

- Achieve consistent and sustainable profitability.
- Enhance revenue streams through profitable arbitrage opportunities.
- Optimize capital allocation and maintain a strong balance sheet.
- Implement robust financial monitoring and reporting mechanisms.
- Continuously improve trading strategies to adapt to market conditions.

### Risk Management:

- Develop robust frameworks to mitigate trading risks.
- Implement strict risk controls and predefined limits.
- Conduct regular stress testing and scenario analysis.
- Foster a culture of risk awareness and accountability.

- Continuously refine risk management practices.

#### **Technology Infrastructure:**

- Invest in cutting-edge trading systems and infrastructure.
- Develop proprietary software for efficient trade execution.
- Explore automation and algorithmic trading capabilities.
- Establish robust data analytics and research capabilities.
- Ensure data security and cybersecurity measures.

#### **Market Research and Analysis:**

- Conduct comprehensive market research for arbitrage opportunities.
- Utilize advanced data analytics and quantitative modeling.
- Develop proprietary trading models and algorithms.
- Stay updated with market developments and maintain relationships.
- Monitor regulatory changes and ensure compliance.

#### **Talent Development:**

- Attract and retain top talent in proprietary trading.
- Provide ongoing training and professional development.
- Foster a collaborative and innovative work environment.
- Reward and recognize exceptional performance.

### **3. Regulatory Compliance:**

#### **Regulatory Compliance:**

- Abide by SEBI, NSE, and BSE rules and regulations.
- Obtain necessary licenses and registrations.
- Comply with insider trading and market abuse regulations.
- Adhere to guidelines on margin requirements and capital adequacy.

#### **Market Surveillance and Reporting:**

- Implement robust systems to monitor trading activities.

- Report trades and positions to regulatory authorities.
- Cooperate with market surveillance teams and investigations.

#### **Corporate Governance and Ethics:**

- Maintain high standards of corporate governance.
- Establish a code of conduct and ethics policy.
- Conduct regular internal audits.

#### **Continuous Learning and Upgradation:**

- Stay updated with regulatory developments.
- Allocate resources for ongoing training.
- Engage with industry forums and seminars.

## **4. Conclusion:**

The organizational goals and regulatory compliance guidelines presented in this document serve as a strategic roadmap for Besseggen Infotech. By focusing on financial performance, risk management, technology infrastructure, market research, talent development, and adherence to SEBI, NSE, and BSE guidelines, the firm aims to establish itself as a leader in proprietary trading and maintain a reputable market presence as an arbitrageur.

Besseggen Infotech remains committed to upholding the highest standards of regulatory compliance while achieving sustainable growth and profitability in the dynamic world of proprietary trading and arbitrage.