



ACML CAPITAL MARKETS LIMITED

(Formerly : ASE Capital Markets Limited)

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Policy on Handling of Good Till Cancelled Orders (GTC) Good Till Triggered (GTT) for Clients

Ref.: NSE/INSP/62528 dated June 21, 2024 and BSE: Circular; 20240622-2 dated June 22, 2024

Introduction

This policy outlines the procedures and guidelines for handling Good Till Cancelled (GTC), Good Till Triggered (GTT) and similar types of orders offered to clients. This policy aims to ensure consistency, transparency, and protection of investor interests.

Scope:

The Exchanges have stated that the policy shall include –

- Details of Good Till Cancelled/Good Till Triggered/Orders of similar type provided by member including its validity.
- Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action.

Policy Details:

1. Order Validity

- **Good Till Cancelled (GTC) Orders:** These orders remain active for 360 days until they are either executed or explicitly cancelled by the client.
- **Good Till Triggered (GTT) Orders:** These orders remain active until the specified trigger conditions are met, leading to order execution, or until they are cancelled by the client.

2. Handling of Orders during Corporate Actions

In the event of corporate actions (e.g., dividends, stock splits, mergers), the handling of GTC/GTT orders will follow these protocols:

- **Cancellation:** All pending GTC/GTT orders will be cancelled prior to the corporate action to prevent erroneous trades.
- **Price Reset:** Where applicable, orders may be adjusted to reflect new prices post-corporate action.
- **Retention:** If an order is retained post-corporate action, clients will be informed of the adjustments made.

3. Client Communication

- **Notification Timeline:** Clients will be notified of upcoming corporate actions affecting their GTC/GTT orders no later than one day prior to the ex-date of the corporate action.

• **Communication Channels:** Notifications will be sent through email or other suitable mechanisms that can be preserved. In case of undelivered emails, alternate communication methods such as physical delivery, SMS, or electronic instant messaging services will be used, adhering to the safeguards prescribed in NSE Circular NSE/INSP/52604 dated June 10, 2022.

Policy Communication to Existing Clients

Existing clients will be informed of this policy via email or posting on website or other suitable mechanisms. If the initial communication is undelivered, alternative channels will be employed to ensure receipt.

Approval and Review

This policy is approved by Board of Directors and is subject to review periodically or as per regulatory requirements from time to time.