

1. DO'S :

- 1) Maintain the secrecy of your password in case of internet trading since you are responsible for all your transactions. The password should be unique and periodically changed to ensure security.
- 2) Keep a regular check of your Trading and Depository account.
- 3) Scrutinize each transaction in your account and ensure that each is carried out as per your instructions only and in case of any irregularities, please e-mail us at: grievances@dssl.co.in or you can write to us at our registered head office: Delstox Stocks And Shares Ltd. 3/1, Dse House, 2nd Floor, Asaf Ali Road, Delhi-110002.
- 4) Familiarize yourself with the Risk Disclosure Document (RDD) before commencement of trades.
- 5) Be extremely vigilant while transacting in illiquid shares.
- 6) While placing orders over your Delstox branch phone, ensure you give clear and unambiguous instructions. In case you visit our branch office, please give your orders in writing.
- 7) Please bear in mind that while we will inform you in case of margin call, it is also your responsibility to maintain the required margins. Delstox reserves the right to square off any outstanding positions in case of shortfall in margin and delay in payments.
- 8) Your correspondence address should always be updated.
- 9) If you do not want to trade for any specified period due to not being in station or for any other reason, please give us instruction to suspend your depository and trading accounts temporarily by email/letter sent to our registered head office. This will ensure clarity in dealings.
- 10) Transactions should be in line with financial details provided.
- 11) All the Demand Draft payments more than Rs.50000/- should be accompanied by Bank confirmation letter.
- 12) You should always add nominee to your Demat and Trading account. By nominating, you can protect the interests of your family and make sure that they benefit from your investments.
- 13) Deal only with registered intermediaries - check the registration certificate of the intermediary you are dealing with. It allows recourse to regulatory action.
- 14) Understand risk factors thoroughly before starting trades in Futures & Options and Currency segments.
- 15) Check messages sent by Exchanges on a weekly basis regarding funds and securities balance reported by the trading member, compare it with the weekly statement of account sent by broker and immediately raise a concern to the Exchange if you notice any discrepancies.
- 16) Always keep your contact details viz. Mobile number/Email ID updated with the stockbroker. Email and mobile number are mandatory, and you must provide the same to your broker for updation in Exchange records. You must immediately take up the matter with Stockbroker/Exchange if you are not receiving the messages from Exchange/Depositories regularly.
- 17) Check the frequency of accounts settlement opted for. If you have opted for running account, please ensure that your broker settles your account and sends statement of accounts regularly and in any case not later than once in 90 days (or 30 days if you have opted for 30 days settlement). Please note

that claims for a period longer than 90 days will not be accepted by the Exchange in case of default by your broker.

18) Regularly verify Consolidated Accounts Statement (CAS) received from Depositories and reconcile with your trades / transactions.

19) Ensure that pay-out of funds/securities is received in your account within 1 working day from the date of pay-out. Ensure that you receive Contract Notes within 24 hours of your trades.

20) Trade verification facility is also available on NSE/BSE website which you can use to verify your executed trades.

21) Intimate any change in KYC details and ensure that it is properly updated in the database.

2. DONT'S :

1) Do not believe in baseless and false assurances of guaranteed returns. There is no assurance of guaranteed or fixed periodic returns from Capital Market.

2) Do not sign blank Delivery Instruction Slips (DIS) issued for Depository transactions and hand over the same to any Depository Participant or broker.

3) Do not give any cash for settlement of trading activities.

4) Do not transfer funds, for the purposes of trading to anyone, including an authorized person or an associate of the broker, other than a SEBI registered Stockbroker.

5) Do not fall prey to fraudsters sending emails and SMSs luring you to trade in stocks/ securities promising huge profits.

6) Do not believe in any kind of promises made about assured returns by our employees or Sub brokers or Authorised Persons or Marketing Associates. They are not authorized or qualified to give such assurances or promises.

7) Beware of investing based on unsolicited stock tips/ recommendations circulated by unauthorized/ unregistered entities, received through WhatsApp, Telegram, SMS, calls, etc. and take an informed decision before investing.

8) Beware of fixed/guaranteed/regular returns/ capital protection schemes. Brokers or their authorized persons or any of their associates are not authorized to offer fixed/guaranteed/regular returns/ capital protection on your investment or are they authorized to enter into any loan agreement with you to pay interest on the funds offered by you. Please note that claims for funds or securities given to the broker under any arrangement/ agreement of indicative return will not be accepted by the Exchange in case of default by your broker.

9) Don't ignore any emails/SMSs received from the Exchange about trades done by you. Verify the same with the Contract notes/Statement of accounts received from your broker and report discrepancy, if any, to your broker in writing immediately and if the Stockbroker does not respond, please take this up with the Exchange/Depositories forthwith.

10) Don't issue cheques in the name of Authorized Person or any of their associates.

11) Do not accept contract note/confirmation memo signed by any unauthorized person.