

OTHER REGULATORY COMMUNICATIONS

Sr. No.	Details
1	Prevent Unauthorised transactions in your account. Update your mobile numbers/email IDs with your stock brokers. Receive information of your transactions directly from Exchange on your mobile/email at the end of the day Issued in the interest of investors
2	KYC is one time exercise while dealing in securities markets - once KYC is done through a SEBI registered intermediary (broker, DP, Mutual Fund etc.) you need not undergo the same process again when you approach another intermediary.
3	No need to issue cheques by investors while subscribing to IPO. Just write the bank account number and sign in the application form to authorise your bank to make payment in case of allotment. No worries for refund as the money remains in investor's account
4	Attention Investors 1. Stock Brokers can accept securities as margin from clients only by way of pledge in the depository system w.e.f. September 01, 2020. 2. Update your email id and mobile number with your stock broker / depository participant and receive OTP directly from depository on your email id and/or mobile number to create pledge. 3. Check your securities / MF / bonds in the consolidated account statement issued by NSDL/CDSL every month. Issued in the interest of Investors
5	Advisory for investors. Clients/ Investors should abstain them from dealing in any schemes of authorized collective investments/portfolio management, indicative/ guaranteed/fixed returns / payments etc.
6	Filing compliant on SCORES - Easy & quick a. Register on SCORES portal b. Mandatory details for filing complaints on SCORES (i). Name, PAN, Address, Mobile Number, E-mail ID. C. Benefit (i) Effective Communication. (ii) Speddy redressal of the grievances
7	Advisory for investors (Pursuant to BSE Notice No. 20210827-44 and NSE Circular Ref No: 45/2021 dated 27-Aug-2021) 1. Investors are advised not to blindly follow the unfounded rumours, tips given in social networks, SMS, WhatsApp, Blogs etc. and invest only after conducting appropriate analysis of respective companies. Beware of fraudster entities operating throughout India and sending bulk messages on the pretext of providing investment tips and luring investors to invest with them in their bogus firms by promising hefty profits. 2. Beware of unauthorised collective investments/portfolio management/fixed/guaranteed/regular returns/ payments/capital protection schemes. Brokers or their



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Mehta Vakil & Co. Pvt. Ltd.

CIN: U65990MH1994PTC079832
SEBI REGN. NO: INZ000233031
CDSL REGN. NO: IN-DP-125-2015
AMFI REGN. NO : ARN-167455

	authorized persons or any of their associates are not authorized to offer fixed/guaranteed/regular returns/ capital protection on your investment or authorized to enter into any loan agreement with you to pay interest on the funds offered by you. Please note that in case of default of a member claim for funds or securities given to the broker under any arrangement/ agreement of indicative return will not be accepted by the relevant Committee of the Exchange as per the approved norms. 3. Do not keep funds idle with the Stock Broker. Please note that your stock broker has to return the credit balance lying with them, within three working days in case you have not done any transaction within last 30 calendar days. Please note that in case of default of a Member, claim for funds and securities, without any transaction on the exchange will not be accepted by the relevant Committee of the Exchange as per the approved norms. 4. Check the frequency of accounts settlement opted for. If you have opted for running account, please ensure that your broker settles your account and, in any case, not later than once in 90 days (or 30 days if you have opted for 30 days settlement). In case of declaration of trading member as defaulter, the claims of clients against such defaulter member would be subject to norms for eligibility of claims or compensation from IPF to the clients of the defaulter member. These norms are available on Exchange website at following link: https://www.nseindia.com/invest/about-defaulter-section 5. Brokers are not permitted to accept transfer of securities as margin. Securities offered as margin/ collateral MUST remain in the account of the client and can be pledged to the broker only by way of 'margin pledge', created in the Depository system. Clients are not permitted to place any securities with the broker or associate of the broker or authorized person of the broker for any reason. Broker can take securities belonging to clients only for settlement of securities sold by the client. 6. Always keep your contact details viz. Mobile number/Email ID updated with the stock broker to prevent unauthorised transactions in your account. Email and mobile number is mandatory and you must provide the same to your broker for updation in Exchange records and to receive information of your transactions directly from Exchange on your email/mobile at the end of the day. You must immediately take up the matter with Stock Broker/Exchange if you are not receiving the messages from Exchange/Depositories regularly. 7. Don't ignore any emails/SMSs received from the Exchange for 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 Stock Broker does not respond, please take this up with the Exchange/Depositories forthwith. 8. Check messages sent by Exchanges on a weekly basis regarding funds and securities balances 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 a discrepancy. 9. Please 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 Stock broker.
8	Segregation of Client Collateral With a view to providing visibility of client-wise cash and non-cash collateral at TM, CM and Clearing Corporation (CC) levels, daily reporting of such collaterals to CC is put in place by us, in compliance with SEBI Circular SEBI/HO/MRD2_DCAP/CIR/2021/0598 dated 20-Jul-2021 read with NCL circular nos. NCL-CMPL-49348 dated 20-Aug-2021, NCL-CMPL-49640 dated 17-Sept-2021 and NCL-CMPL-49640 dated 29-Sept-2021 and ICCL circular nos. 20210823-44 dated 23-



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	Aug-2021, 20210917-56 dated 17-Sept-2021 and 20211001-58 dated 01-Oct-2021. Clients can register on the URL https://investorhelpline.nseindia.com/ClientCollateral/welcomeCLUser for viewing the collateral information.
9	Risk Disclosure On Derivatives (Pursuant to Annexure I of SEBI Circular SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/73 dated 19-May-2023) 1 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses. 2 On an average, loss makers registered net trading loss close to ₹ 50,000. 3 Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs. 4 Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost. Source: SEBI study dated January 25, 2023 on “Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options (F&O) Segment”, wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.
10	Precautions for clients dealing in Options (Pursuant to BSE Notice 20220325-58 dated March 25, 2022) Clients/Investors to avoid the following practices: a) Sharing of trading credentials – login id & passwords including OTP’s. b) Trading in leveraged products like options without proper understanding, which could lead to losses c) Writing/ selling options or trading in option strategies based on tips, without basic knowledge & understanding of the product and its risks d) Dealing in unsolicited tips through WhatsApp, Telegram, YouTube, Facebook, SMS, calls, etc. e) Trading in “Options” based on recommendations from unauthorized / unregistered investment advisors and influencers



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