

“Advisory for investors”:

“Attention Investors!

- 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 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.
- 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.
- 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 for 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>. National Stock Exchange of India Limited Page 3 of 4
- 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.
- Always keep your contact details viz. Mobile number/Email ID updated with the stock broker. Email and mobile number is mandatory and you must provide the same to your broker for updation in Exchange records. You must immediately take up the matter with Stock Broker/Exchange if you are not receiving the messages from Exchange/Depositories regularly.
- 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.
- 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.

- 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.”

Change in Trading Limit Policy in accordance with SEBI Circular (Pre Allocation of Client funds & Securities) effective from May 01, 2023

This is in continuation to SEBI Circular no. SEBI/HO/MRD2_DCAP/CIR/2021/0598 and subsequent circulars issued by respective exchanges related to Pre-Allocation of client funds & securities to respective exchanges/clearing corporations, following key changes will be made effective from May 01, 2023

- If any new fund will be given during the day, the fund will be allocated to the respective exchange/clearing corporation and after getting confirmation from the exchange/clearing corporation only, a new limit will be made available. TAT of same may be few minutes depending upon exchange/clearing corporation confirmation
- Limit against Pledged securities will be available for those securities which are accepted and re-pledged with respective exchanges/clearing corporations only as per RMS Policy
- Clients can call their respective branch to avail limits against Pledged securities which are not repledged/accepted by exchanges/clearing corporations. DPC will be levied on availed limit as per prevailing rates irrespective of limit used or not
- Default Benefit against selling of shares during the day will be discontinued and will be provided only after completion of Early Pay-in of Securities. This is with reference to the exchange guidelines (NCL/CMPT/56494 link - <https://archives.nseindia.com/content/circulars/CMPT56494.pdf>). Accordingly the Sale Proceeds will not be available to take fresh positions in any segment on the Trade day (i.e same day) effective from 02th May 2023.

To get maximum benefit of your collaterals, kindly ensure timely acceptance of daily pay out pledge link.

In case of any queries or clarifications, please write to us at rrbmsdl@rediffmail.com or call us on 011-23721968 .