

**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 balanceling 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>.  
[https://www.bseindia.com/static/investors/Claim\\_against\\_Defaulter.aspx](https://www.bseindia.com/static/investors/Claim_against_Defaulter.aspx)

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 are 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.”

**SPARK CAPITAL ADVISORS (INDIA) PRIVATE LIMITED**

**Advisory on Account Opening**

**DIRECT ON-BOARDING OF CLIENTS:** The Company provides the facility for direct on-boarding of clients .i.e. on-boarding of clients without intermediation of distributors. In case of direct on-boarding, no charges except statutory charges shall be levied on clients. To know more, please contact us.

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.

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.

In order to facilitate better understanding of the registration documents by the investors, the Exchange has provided the following documents in 15 regional vernacular languages.

- a) Document stating the Rights & Obligations of Stock broker and client for trading on exchanges including additional rights & obligations in case of internet / wireless technology-based trading.
- b) Uniform Risk Disclosure Documents ("RDD") for all segments / exchanges.
- c) Guidance Note detailing Do's and Don'ts for trading on exchanges.

The above-mentioned documents in the vernacular languages are available on NSE website at [https://www.nseindia.com/membership/content/complinc\\_trading\\_mem.htm](https://www.nseindia.com/membership/content/complinc_trading_mem.htm) and can be downloaded.

**Advisory on Margins issued in the interest of Investors**

- 1) Stock Brokers can accept securities as margin from clients only by way of pledge in the depository system w.e.f. September 1, 2020.
- 2) Update your mobile number & email Id with your stock broker/depository participant and receive OTP directly from the depository on your email id and/or mobile number to create a pledge.
- 3) Pay 20% upfront margin of the transaction value to trade in the cash market segment.
- 4) Investors may please refer to the Exchange's Frequently Asked Questions (FAQs) issued vide circular reference NSE/INSP/45191 dated July 31, 2020 and NSE/INSP/45534 dated August 31, 2020 and other guidelines issued from time to time in this regard.
- 5) Check your Securities /MF/ Bonds in the consolidated account statement issued by NSDL/CDSL every month.

**Advisory for Demat account holders**

CDSL communique no. CDSL/OPS/DP/POLCY/2017/176 dated April 05, 2017 advises that the Beneficial Owners (BOs) should submit/update their Aadhar Card copy with the Depository Participant.

Prevent Unauthorized Transactions in your demat account --> Update your Mobile Number with your Depository Participant. Receive alerts on your Registered Mobile for all debit and other important transactions in your demat account directly from CDSL on the same day. Issued in the interest of investors.

**Other Advisory**

Kindly note that as per NSE circulars nos: NSE/INVG/36333 dated November 17, 2017, NSE/INVG/37765 dated May 15.2018 and BSE circular nos: 20171117-18 dated November 17, 2017, 20180515-39 dated May 15.2018, trading in securities in which unsolicited messages are being circulated is restricted. The list of such stocks are available on the website of NSE & BSE. In case of any queries, request you to kindly get in touch with Customer Service on 1800 209 9191

Please do not share your online trading password with anyone as this could weaken the security of your account and lead to unauthorized trades or losses. This cautionary note is as per Exchange circular dated 15th May, 2020.

**Advisory - KYC Compliance**

All investors are requested to take note that 6 KYC attributes i.e., Name, PAN, Address, Mobile Number, Email id and Income Range have been made mandatory. Investors availing custodian services will be additionally required to update the custodian details.

The last date to update KYC is on or before March 31, 2022.

Thereafter non-compliant trading accounts will be blocked for trading by the Exchange.

The non-compliant demat accounts will be frozen for debits by Depository Participant or Depository.

On submission of the necessary information to the stockbroker and updation of the same by the stockbroker in the Exchange systems and approval by the Exchange, the blocked trading accounts shall be unblocked by the Exchange on T+1 trading day.

The demat account shall be unfrozen once the investor submits the deficient KYC details and the same is captured by the depository participant in the depository system.

To ensure smooth settlement of trades, the investors are requested to ensure that both the trading and demat accounts are compliant with respect to the KYC requirement.

The investors are hereby requested to comply with the regulatory guidelines issued by Exchanges and Depositories from time to time with regard to KYC compliance and related requirements.