

RAVECHI SECURITIES

105,GROUND FLOOR, MARK COTTAGE,GOVIND BACHHAJI ROAD,CHARAI,THANE(W)400601
[TEL:022-25410048/022-25438987](tel:022-25410048/022-25438987) , FAX: 022-25438984 E-MAIL:info@ravechisecurities.com
MEMBER OF NATIONAL STOCK EXCHANGE, SEBI REGISTRATION NOS: INB231301913, INF231301913

DO'S AND DON'T WHILE DEALING IN SECURITIES MARKET

Dear Client You are requested to go through carefully and understand the following do's and don'ts before you start dealing in securities market:

Do's: Pre-Account Opening

1. Always deal with market intermediaries registered with SEBI/Exchanges.
2. It is very important that one should make himself/herself familiar with the rules, regulations, byelaws and circulars issued by Stock Exchange/SEBI before entering into and/or carrying out any transaction.
3. Transact only through Stock Exchanges.
4. Please carry out due-diligence before registering client with any intermediary. Client should carefully read and understand the contents stated in the Risk disclosure document, which forms part of investor registration requirement for dealing through brokers in stock market.
5. Clear all your doubts by raising your queries with the Relationship Manager prior to opening an account.

Don'ts: Pre-Account Opening

1. Do not start trading until you have read and understood the Risk Disclosure Documents and Member-Client Agreement.

Do's: Account Opening

1. Please read and understand and thereafter execute the Member - Client Agreement with RS, setting out the terms and conditions clearly.
2. Enter accurate and complete details in the form, fill up all fields. Do not leave any spaces blank.
3. All information provided should be factually correct and accurate since this will form the basis of your relationship with RAVECHI SECURITIES.
4. Read and understand every document in the Registration kit carefully before signing.
5. Please provide accurate Email ID, Client ID, DP, ID, Mobile Number, Contact Details and Bank account number.
6. The correspondence address should always be updated.
7. Submit your Permanent Account Number (PAN)
8. Understand the utility of maintaining a running account before signing the authorization for the same. Maintaining a Running Account with us is not compulsory.

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9. Ensure that all details are correctly mentioned in the welcome letter sent by RS after account opening.

Don'ts: Account Opening

1. Do not sign the Member-Client Agreement without clearing your doubts in respect thereof.
2. Do not fill in wrong or incomplete details. Do not overwrite, cancel, and misspell the details.

Do's: Pre -Trading

1. Adopt trading/investment strategies commensurate with you risk bearing capacity, as well as the Investment carry risk, the degree of which varies according to the investment strategy adopted.
2. Assess the risk-return profile of the investments as well as the liquidity and safety aspects before making and/or acting upon your investment decision.
3. Make investments based on your sound reasoning, after taking into account all publicly available information, fundamentals and information made available.
4. Check the veracity of the information available.
5. Access the websites Companies and Regulators for information.
6. Keep copies of the Member Client Agreement and your trading account related documents.
7. Familiarizes yourself with the rules, regulations and circulars issued by stock exchange/SEBI before carrying out any transaction.
8. Ask all relevant questions and clear your doubts with your broker before transacting.
9. Please be informed that there are no guaranteed returns on investment in stock markets. Investments in Capital Market are subject to market risk.
10. Ensure that you have adequate balance before you buy.
11. Ensure that you are holding securities before you sell.
12. Exercise due caution while trading in illiquid shares or penny stocks or Z, T2T category stock.

Don'ts: Pre-Trading

1. Do not trade in any product without knowing and/or understanding the associated risks and rewards.

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2. Do not influence by information which is not originating from an appropriate source.
3. Do not believe any promises made about Assured Return by broker, employees or Sub-Broker or Authorized Persons or Marketing Associates.
4. Do not rely on any implicit/explicit promise made by the issuer or any third party or returns.
5. Do not be influenced into buying fundamentally unsound companies (penny stocks) based on sudden spurts in trading volumes or prices or non-authentic favorable looking articles/stories.
6. Do not match/synchronize trade with any other person for any thinly traded shares.
7. Do not be misled by rumors circulating in the market.
8. Do not indulge in any trading activity which results in disturbance of market equilibrium in any manner including manipulation of price of any scripts.
9. Do not follow the herd or play on momentum it could turn against you.
10. Do not be misled by so called hot tips.
11. Do not undertake deals for others or trade on your own name and then issue cheques from family members / friend accounts.
12. Do not pay in cash or do not issue a cheque in name of any employee of broker / sub-broker or any other person in respect of the transaction.
13. Do not get carried away by luring advertisements, if any.
14. Do not try to time the market.
15. Do not leave signed blank delivery instruction slips (DIS) of your depository account lying around carelessly or with anyone.
16. Do not sign blank DIS and keep them with Depository Participant or broker to save time. Remember your carelessness can be your peril.
17. Do not invest based on Bull Run of the market index/scripts of other companies in same industry/issuer company
18. Do not start trading before reading and understanding the Risk Disclosure Documents.
19. Don't get misled by guarantees of repayment of your investments through postdates cheques.

Do's: Trading

1. Call on the landline numbers of your local branch and give clear and unambiguous instructions while placing orders over the phone. In case our visit the branch office, kindly give your orders in writing.
2. Be vigilant in your transactions.

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3. Be aware of the risk associated with you Cash Market and Futures & Options positions in the market and margin calls on them. In case of inadequate margin or nonpayment or margin in your account, your positions will be squared off by the Risk Management Team.
4. Please bear in mind that while it is our endeavor to inform you in case of a margin call, it is your responsibility to maintain margins otherwise broker will square up outstanding position in case of shortfall in margin and delay in payments.
5. Maintain secrecy of your password in case of internet trading, since you will be solely responsible for all transactions effected from its usage.
6. Maintain secrecy of your password in case of internet trading, since you will be solely responsible for all transactions effected from its usage.
7. If at any point of time you received response for resetting password against request which has not been made by you, please call us at 022-25438988, Customer Care Helpdesk immediately.
8. Following is the procedure for handling short deliveries in case the seller client fails to deliver securities in our Pool account within specified pay-in time limit against his/her pay-in/selling obligations.
 - 8.1. The short delivering client is debited by an amount equivalent to 10% above the closing rate of the day prior to Pay-in/Pay-out day. The securities delivered short are purchased from the market on T+3 day which is the Auction day on Exchange, and the purchase consideration is debited to the short delivering seller client along with the reversal entry of provisional amount debited earlier.
 - 8.2 If securities cannot be purchased from market due to any force majeure condition, the short delivering seller client is debited at the closing rate +10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/Credits shall be as per Exchange debits and credits.

Don'ts: Trading

1. Do not give instructions which are not clear, they should be given verbally over recorded phone lines or in writing.
2. Do not forget take note of risks involved in the investment.
3. Do not reveal your password to any other person.
4. Do not engage you self in any activity which is in the nature of intermediary such as sub-broker without proper registration with SEBI/Exchange.

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Do's: Post Trading

1. Insist and ensure that for every executed trade you're received duly signed contract note from your broker, highlighting the details of the trade time and number, transaction price, brokerage along with your unique client-Id, broker's name. Please note that the details of every executed trade are posted on our website www.ravechisecurities.com in the form of digital contract notes on a daily basis. Access the website, wherever possible and satisfactory yourself in respect thereof.
2. Verify all details in contract notes, immediately on receipt.
3. Check your email account mentioned in the 'Know Your Client' form daily. All your account related information including trade confirmation, Contract Notes and margin calls will be emailed to you.
4. Crosscheck details of your trade with details as available on the Exchange website.
5. Insist on periodical statement of accounts for your scrutiny.
6. Pay the margin within the prescribed time- Collect/pay, your mark to market margins, on your position, on a daily basis, from/to your Broker.
7. Ensure receipt of payment / deliveries within one working day of payout.
8. Deliver the shares in case of sale or pay the money in case of purchase before the pay-in-day.
9. For payments issue only crossed account payee cheque/DD/PO in name of RAVECHI SECURITIES. Please ensure to write your full name on the back of the cheque & sign so as to disallow incorrect to any other account.
10. Client should deliver securities for pay-in in our pool account and for margin in our beneficiary account only. Management shall not be responsible for any delivery or securities to any third party demat account including demat accounts of our sub brokers, employees, business development representative and business partners etc. our sub broker, employees, business development representative and business partners etc.

Don'ts: Post Trading

1. Do not make / take payment in cash.
2. Do not believe if an RAVECHI SECURITIES representative tell you that margins are not required of payments on time need not be made.
3. Do not hesitate to approach the broker helpdesk. Helpdesk can be contacted at +91-22-25438988 Email ID: ravechi.securities@yahoo.com

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4. Do not delay payment / delivered of securities to Broker / Sub-Broker.
5. Do not accept unsigned contract notes or signed by an unauthorized person.
6. Do not pay more than the agreed brokerage to the intermediary.
7. Do not sign blank delivery instruction slip(s) while meeting security pay-in obligation.
8. Do not accept unsigned contract note or contract note signed by any unauthorized person.
9. Don't forego taking due documents of transactions, in good faith even from people whom you know.

Do's: Depositories

1. Handle Delivery Instruction Slips (DIS) Books issued to you carefully.
2. Insist that the DIS numbers are pre-printed and your account number (client id) be pre-stamped.
3. While sending securities for demat, record the distinctive number of the securities sent.
4. Check the demat performance of the issue company with your DP before deciding to send depository participant.
5. Scrutinize minutely both the transaction and the holding statements that you receive from your depository participant.
6. Always mention the details like ISIN, number of securities accurately. In doubt, contact Depository Participant or your broker.
7. Authorize any corrections, over-writing or cancellation on the instruction slips by signing against the same.
8. Ensure that all joint holders of the demat account sign the slip.
9. If there is space for multiple instructions and it is not used full, please strike out the blank space for furnishing securities details.
10. Avoid over-writing, cancellations, misspellings, changing of the name and quantity of securities
11. In case you are not transacting frequently make use of the freezing facilities.

Don'ts: Depository

1. Do not issue depository delivery instruction slip from any other family members/friends account. Issue the DIS only from your own depository account.
2. Do not sign blank Delivery instruction slip(s) while meeting security pay-in obligation.

