

## Do's & Don'ts While Dealing With Broker

### Do's:

- Transact only through SEBI-recognized stock exchanges. Deal only through SEBI-registered STOCK BROKERS.
- You may check their SEBI registration certificate number from the list available on the Stock exchanges [www.nseindia.com](http://www.nseindia.com) / [www.bseindia.com](http://www.bseindia.com) / [www.mcx-sx.com](http://www.mcx-sx.com) and SEBI website [www.sebi.gov.in](http://www.sebi.gov.in).
- State clearly who will be placing orders on your behalf and give clear and unambiguous instructions to your Stock broker. Never give an open authority to Stock broker for placing trades on your behalf.
- Insist on client registration form to be signed by the broker before commencing operations.
- Enter into an agreement with your Stock broker setting out terms and conditions clearly.
- Ensure that you read the agreement and risk disclosure document carefully before signing.
- Make sure that you sign on all the pages of the agreement and ensure that the Stock broker or an authorized representative, signs on all the pages of the agreement. Also the agreement should be signed by the witnesses by giving their name and address.
- Insist on a contract note for each transaction and verify details in the contract note, immediately on receipt. If in doubt, crosscheck details of your trade available with the details on the exchange's website. Insist on a bill for every settlement.
- Ensure that the broker's name, trade time and number, transaction price and brokerage are shown distinctly on the contract note.
- Insist on periodical statement of accounts.
- Issue cheques/drafts only in the trade name of the Stock broker. Don't make any payment in cash to the stock broker.
- Ensure receipt of payment/ deliveries within 48 hours of payout.
- In case of disputes, file written complaint to intermediary/ stock exchange/SEBI within a reasonable time.
- In case of disputes with the sub-broker, inform the main Stock Broker immediately.
- Familiarize yourself with the rules, regulations and circulars issued by stock exchanges /SEBI.
- Keep track of your portfolio in your demat account on a regular basis.
- Ensure that you have money before you buy. Ensure that you are holding securities before you sell.

### While dealing in derivatives segment:

- Be aware of the risk associated with your positions in the market/margin calls.
- Collect/pay mark to market margins on your futures position on a daily basis from/to TM.

### Don'ts:

- Don't deal with unregistered Stock brokers or other unregistered intermediaries.
- Don't execute any document with any intermediary without fully understanding its terms and conditions.
- Don't leave the custody of your Demat Transaction Slip book in the hands of any Stock broker / sub-broker.
- Don't forgo obtaining all documents of transactions even if the Stock broker/sub-broker is well known to you.
- Don't do any off market transaction or payment of funds to sub broker or authorized persons. All securities and fund transaction should be done only in the Stock Broker's account.

**Kedia Capital Services Private Limited.** (India's 1st Unified Licensed Stock Broker)

Member of BSE | NSE | MCX | NCDEX | ICEX | CDSL | SEBI Registration Number INZ000042238 | INDP 394 – 2018 | CIN - U65923MH2012PTC227863

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