

Pragya Equities Pvt. Ltd.

CIN No.: U51420MH1995PTC085262

Regd. Off.: 504 Kailash Plaza, 5th Floor,

Vallabh Baug Lane, Ghatkopar (E), Mumbai - 400 075.

T. 91.22.2501 7901 / 02 / 03

F. 91.22.2501 7904

E. pragyaequities@gmail.com



Dos and Don'ts For Investor

Do's:

- Deal only with registered intermediaries-check the registration certificate of the intermediary you are dealing with. It allows recourse to regulatory action.
- Read all mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stockbroker **Pragya Equities Pvt. Ltd. (PEPL)**.
- Be informed about brokerage, commissions, fees, other charges levied by broker
- Read, understand and then sign the voluntary clauses.
- Check for all conditions that have been agreed and accepted by you.
- Ensure to fill all the required details in "Account Opening Form" / Know Your Client Form (KYC) by yourself and receive duly signed copy of your 'KYC' documents from **Pragya Equities Pvt. Ltd. (PEPL)**. Always keep your contact details viz. Mobile number/ Email ID updated with the **PEPL**. You may take up the matter with **PEPL** / Exchange if you are not receiving the messages from Exchange / Depositories regularly.
- Opt for electronic (e-mail) contract notes/financial statements only if you are computer savvy and have an e-mail account of your own.
- Ensure that pay-out of funds/securities is received in your account within 1 working day from the date of pay-out.
- Make payments only through the banking channel and issue cheque in favour of **PEPL**.
- Trade verification facility is also available on Exchange website which you can use to verify your trades.
- Register for online applications viz. easiest provided by Depositories for online delivery of securities as an alternative to POA/DDPI.
- Ensure that you receive Contract Notes within 24 hours of your trades and Statement of Account at least once in a quarter / month from **PEPL**.
- If you have opted for running account, please ensure that the **PEPL** settles your account regularly and in any case not later than 90 days (or 30 days if you have opted for 30 days settlement).
- Regularly login in to your account to verify balances and verify the demat statement received from depositories for correctness. Regularly verify Consolidated Accounts Statement (CAS) received from Depositories and reconcile with your trades / transactions.
- Keep Delivery Instruction Slip (DIS) of your Demat account safely. Do not handover blank signed DIS slips to any-one.
- Check messages sent by Exchanges on a weekly basis regarding funds/securities balances reported by the **PEPL** and immediately raise a concern, if you notice a discrepancy.



SEBI Registration No.: INZ000236538 GST No : 27AAACP3249H1ZG

MEMBER: NATIONAL STOCK EXCHANGE OF INDIA LTD. - CLG NO. 12202 BOMBAY STOCK EXCHANGE LIMITED - CLG NO. 6154

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- If you observe any discrepancies in your account or settlements, immediately take up the same with **PEPL** in writing within 7 (seven) working days from date of receipt of the statement. If the **PEPL** does not respond, take up the matter with the Exchange/Depositories.
- If in doubt, revoke any authorization given by you at any time.
- Beware of fixed/guaranteed returns schemes. Brokers or any of their representatives are not authorized to offer fixed/guaranteed returns on your investment or enter into any loan agreement to pay interest on the funds/securities offered by you.
- Do your own study about the fundamentals of the company whose shares you are buying.
- Attend various Investor Awareness Programs held by SEBI/Exchanges/Depositories for awareness of changes in the markets.

Don'ts:

- Do not share password (internet account) with anyone It is like sharing your safe key.
- Do not transfer Securities to **PEPL** for the purpose of margin . They remain in your account only and you need to only pledge them to your **PEPL** through the pledge mechanism.
- Do not transfer funds/securities, for the purposes of trading to anyone other than a **PEPL** .
- Don't ignore any emails/SMS received with regards to trades done by you from the Exchange. Verify the same with the Contract notes/Statement of accounts received from **PEPL** only and report discrepancy, if any, to us in writing immediately and if the **PEPL** does not respond, with the Exchange/Depositories.
- Do not keep funds/securities idle with the **PEPL** .
- Do not fall prey to fraudster sending email sand SMS luring to trade in stocks/Securities promising huge profits.



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