

### **Information to clients**

1. 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.
2. KYC is a 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.
3. No need to issue cheques by investors while subscribing to IPO. Just write the bank account number and sign in the application form to authorize your bank to make payment in case of allotment. No worries for a refund as the money remains in the investor's account.
4. Filing Complaint on SEBI SCORES – Quick & Easy A) Register on SCORES B) Mandatory Details For Filing Complaints On SCORES – Name, Pan, Email, Address, And Mob. No. C) Benefits – Speedy Redressal & Effective Communication.
5. **Disclosure of proprietary trading by brokers to client:**

We refer to circular no. SEBI/MRD/SE /Cir.42 /2003 dated 19/11/2003 issued by Securities and Exchange Board of India in connection with the above and in terms of the said circular we disclose that we have undertaken proprietary trading, arbitrage as well as investment business on our account in addition to client based business.

### **6. Policy on Inactive Client account:**

All client accounts not having any transactions during one financial year will be treated as inactive / dormant account. If the account status is tagged as a dormant / in active account, the surplus Funds and Securities lying in such accounts will be returned only on submission of prescribed documents.

During the blocked period if there is any debit / dues to AGS in client's account, AGS shall have the authority to liquidate the client's position to the required extent during the block period. During the block period if any corporate actions or pay-outs are due for return to the client, the same will be affected / returned by AGS to the clients' account.

### **Reactivation:**

A client's account will be re-activated based on a written request, subject to fulfilment of such conditions as AGS may consider fit and proper:

- on submission of proof of identity and proof of address, where the account is suspended due to dormant / Inactive status or on client's request, or on submission of such other information/ documents as deemed fit by AGS.
- In other circumstances, at the discretion of AGS, provided there are no outstanding dues from the client or he has no open grievances pending against AGS or client has complied with all requirements of AGS of submission of information/ documents or

on fulfilment of such other conditions that AGS may impose at its discretion.

7. Investments in securities market are subject to market risks; read all the related documents carefully before investing.
8. Attention investors: 1) Stock brokers can accept securities as margins from clients only by way of pledge in the depository system w.e.f September 01, 2020. 2) Update your e-mail and phone number with your stock broker / depository participant and receive OTP directly from depository on your e-mail and/or mobile number to create pledge. 3) Check your securities / MF / bonds in the consolidated account statement issued by NSDL/CDSL every month.
9. Investments in securities market are subject to market risks; read all the related documents carefully before investing.