



K. A. Gunderia & Co.

SHARE & STOCK BROKERS

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DO'S AND DON'TS WHILE DEALING IN EQUITY MARKET

DO'S

1. Always deal with market intermediaries registered with SEBI/Exchanges.
2. Give clear and unambiguous instructions to your broker/agent/Depository Participant.
3. Always insist on Contract Notes for all the transaction from the main broker within 24 hours of the trade execution. In case of doubt of the transaction, verify the genuineness of the same on the Exchange website.
4. Always settle the dues through the normal banking channels with the market intermediaries.
5. Always make payment directly to the main broker.
6. Always give delivery of shares directly to the main broker.
7. Adopt trading/investment strategies commensurate with your risk bearing capacity as all investment carry risk, the degree of which varies according to the investment/strategy adopted
8. Always sign a Member - Client Agreement or Tripartite Agreement with the trading member and SEBI registered Sub Broker of the trading member as the case may be
9. Please carry out due-diligence before registering as client with any intermediary. Also carefully read and understand the contents stated in the Risk Disclosure Documents, which forms a part of client registration for dealing through intermediaries in the Stock Market.

DON'TS

1. Don't deal with unregistered brokers/sub-brokers, intermediaries.
2. Don't leave the custody of your Demat Transaction Slip Book in the hands of any Intermediary
3. Don't fall prey to promises of guaranteed returns.
4. Don't blindly imitate investment decisions of others who may have profited from their investment decisions.