

WE BELIEVE IN KEEPING YOU SAFE. THEREFORE, AT LKP SECURITIES WE OFFER YOU THE SAFE TRADING. BELOW ARE THE SAFETY TIPS ONLY FOR YOU:

- ❖ Keep your anti-virus software active while trading online.
- ❖ We do not ask for your login Id and password for your online trading in any of our communication. In case, if you receive any communication, you are requested to call us at our helpdesk and report the same immediately.
- ❖ You are requested not to share your login Id and password to anyone and not even to our officials and it should be known to you only.
- ❖ You are requested to set a strong password and not the usual one that can be easily de-coded by anyone. Your password should contain a mixture of Alphabets, numbers and special characters.
- ❖ You are requested to change your password on regular intervals.
- ❖ Safeguard your account details by not disclosing to anyone and not even to your broker. Keep a watch on your investment and monitor your account regularly. In case of any suspicious activity, you are requested to call us at our helpdesk and report the same immediately.
- ❖ You are requested to check your account details regularly.
- ❖ Always logout your account once you have done with your activities.

Dos and Don'ts

Dealing in Securities – Dos

- ❖ Always deal with market intermediaries registered with SEBI/Stock Exchanges.
- ❖ Always complete your required account opening formalities properly by signing the necessary documents.
- ❖ Always read and understand all the required documents which are associated with risk before undertaking any trades in any market segment.
- ❖ Understand all the trading systems and always assess the risk-return profile of the investment as well as liquidity before making any decision related to investments. It is always advisable to ask the important questions from your broker before transacting.
- ❖ Give clear and unambiguous instructions to your broker/agent/depository participant.
- ❖ Be vigilant in your transactions and always cross check your details of your trades with exchange website.
- ❖ Always settle the dues whenever debit arises by making payment to LKP through your trading linked bank account and pay the margin time to time to avoid liquidation of exposure due to margin shortfall.
- ❖ Always insist on contract notes for all the transactions in case not received by you from LKP within 24 hours of the trade executions. In case of any doubt, you can verify the trades from Exchanges website.
- ❖ Always keep copies of all your investment documentation.
- ❖ Accept the DIS book from your DP only if each slip has been pre-printed with a serial number along with your demat account number and keep it in safe custody.
- ❖ Always mention the details like ISIN, number of securities accurately and ensure that all demat account holder(s) sign on the DIS.
- ❖ In case you are not transacting frequently, make use of the freezing facilities that are provided for your demat account.
- ❖ Always give delivery of shares directly to LKP in case of sale.
- ❖ Participate and vote in general meetings either personally or through proxy.
- ❖ Be aware of your rights and responsibilities.
- ❖ In case of any grievances approach the right authority for redressal in timely manner.

Dealing in Securities – Don'ts

- ❖ Don't deal with unregistered brokers/sub-brokers, intermediaries.
- ❖ Don't fall prey to promises of guaranteed and unrealistic returns.
- ❖ Don't invest on the basis of hearsay and rumors; verify before investment and don't forget to take a note of risk involved in the investment.
- ❖ Don't be influenced into buying into unsound companies based on sudden spurt in trading price.
- ❖ Don't leave your DIS book with anyone else and don't sign blank DIS as it is equivalent to a bearer cheque.

- ❖ Don't hesitate to approach the proper authority for redressal of grievances/doubts.

Dealing in Derivatives – Dos

- ❖ Trade only through trading member registered with SEBI or authorized person of trading member registered with SEBI.
- ❖ Always go through all rules, regulations, byelaws and disclosures made by the exchanges.
- ❖ Adopt trading strategies commensurate with your risk bearing capacity as all derivative instruments carry risk, the degree of which varies according to the strategy adopted.
- ❖ Always insist on contract notes for all the transactions in case not received by you from LKP within 24 hours of the trade executions.
- ❖ While dealing with authorized person/sub-broker, pay the brokerage/payments/margins etc. to trading members only.
- ❖ Be aware of the risk associated with your positions in the market and margin calls on them and pay the margin time to time to avoid liquidation of your stock or open position.

Dealing in Derivatives – Don'ts

- ❖ Don't trade before reading and understanding the risk disclosure documents informing risk associated with various derivative instruments.

Dealing with Brokers and Sub-brokers – Dos

- ❖ Deal through SEBI registered intermediaries having valid registration certificate.
- ❖ Before start trading through intermediary, always insist on client registration by signing proper and valid documents.
- ❖ Always read and understand the 'risk disclosure' and 'right and obligations' documents.
- ❖ Cheques should be issued in the name of main broker and do not issue cheques to sub-broker in their personal name.
- ❖ In case of disputes you may approach main broker and thereafter stock exchanges/SEBI within reasonable time and in case of dispute with sub-broker, please inform to main broker immediately.

Dealing with Brokers and Sub-brokers – Don'ts

- ❖ Do not deal through unregistered intermediaries and do not get lure by irrational offerings of broker and sub-broker.
- ❖ Do not neglect to set out writing, order for higher value given over phone.
- ❖ Do not accept or sign any kind of confirmation memo from broker or sub-broker.
- ❖ Do not trade based on rumors and always opt of basic study before investing.
- ❖ Do not share your login id and password with anyone including employees of broker or sub-broker.
- ❖ Do not make payment to broker in cash for your transactions

SAFTEY TIPS