

Useful Do's / Don'ts for the clients

Based on our long working experience as a Stockbroker & Depository Participant, we are of strong view that if a BO takes few precautions to safeguard his securities, unforeseen & undesirable situations may be avoided. We request you to meticulously follow the below mentioned instructions to avoid problems at a later stage.

Do's

- Do ensure to receive a Transaction cum holding statement of your BO a/c every month if you have done any transaction during the month and once a quarter if there has been no transaction in your DP a/c. Please ensure that your holding and transaction statement is received and reconciled periodically. In case of any discrepancy, contact our DP Team immediately for clarification.
- Do contact our DP Team for queries / clarifications / grievances at 3rd floor, Sadhana House, 570, P. B. Marg, Behind Mahindra Towers, Worli, Mumbai 400018. Telephone No.: 66322456; Fax No.: 66322459; E mail: grievancesdp@plindia.com
- Do contact our CR team at 022-66322365 or clients@plindia.com for any trade related queries and contact at grievance-br@plindia.com for your grievance for broking services, if any.
- Do login at www.cdslindia.com to avail Easi facility of your DP a/c within 90 days from date of account opening failing which your Easi User ID will be cancelled by CDSL. Details of Easi User ID is available in our DP Welcome Letter while password would be received by you from CDSL directly at your e-mail ID registered with us at the time of account opening. (Easi facility is provided by your depository, CDSL, at their web-site whereby you can view transactions & holdings in your DP account through Internet 24x7.)
- Do ensure that complete & correct address is provided to us so as to avoid return of documents. Any change in your Correspondence / Permanent Address, Telephone / Mobile number, E-mail ID, Bank details etc. must be intimated to our DP Team immediately with modification form & relevant proofs. All documents including Delivery/Debit Instruction slip (DIS) booklet & transaction statements will be sent to your correspondence address directly by us.
- Do ensure to give your own Mobile number & E-mail ID for SMS Alerts & Easi facility in order to safeguard your BO account from being misused
- Do ensure that each slip on DIS booklet issued to you has been pre-stamped with a serial number and your demat account number. In case you receive any booklet / slip without serial number or your account number, please return the same to us immediately.
- Do ensure to keep DIS booklet of your BO a/c in safe custody just like your cheque book. In case of loss of the said booklet or any slip, please inform our DP Team immediately in writing for Stop-transfer of lost booklet / slips.
- Do ensure that requisition for fresh DIS booklet is given on the Requisition Slip attached to your previous DIS booklet and is signed by all holders. As per SEBI/CDSL instructions, fresh booklet has to be given only against such Requisition Slips
- Do mention all details accurately and in a legible handwriting. Avoid over-writing, cancellations, corrections, changing of the name and quantity of securities or Counter BO IDs. Authorize every correction, over- writing or cancellation on DIS by all holders signing in full against the same.
- Do fill in all details of the transaction like scrip name, quantity in figures & words, number of instructions used, counterparty demat a/c number before handing your DIS to us or any third party.. If there is space for multiple instructions and it is not used fully, please strike out blank space so as to avoid its misuse.
- Do contact our DP Team for freeze / unfreeze of your BO a/c to enable them to send necessary forms to you in case you wish to freeze your account (e.g. if you are going abroad etc.). Freeze/ Unfreeze of your BO a/c is possible only on receipt of duly filled forms signed by all holders
- Do record folio number, certificate number & distinctive numbers of securities before sending physical securities to us for demat. This information will be required for issue of duplicate share certificates in case your parcel containing certificates is lost in transit.
- Do ensure that all holders sign documents like DIS slip, Demat Request form, Account Modification or Account Closure form etc. in case of BO accounts with joint holder/s
- Do ensure that your instructions are received by us at least 1 day before pay-in time of the relevant exchange so as to avoid auctions due to non delivery of securities
- Do deliver the securities towards your sale / margin to PL's DP a/c from your own Beneficiary A/c registered with PL. At your discretion, you may execute Power of Attorney in favour of "Prabhudas Lilladher Pvt. Ltd." which will be exclusively used for the purpose of debiting your DP a/c with our DP Team for your sales/margin obligation only
- Do check your funds/securities statement sent to you at your email ID registered with CR Team.
- Do request in writing or through email to our CR Team for freezing of your Broking A/c in case you do not wish to execute any security trade for a certain period (e.g. if you are going abroad etc.). Whenever you wish to re-commence transactions, you may request our CR Team to Unfreeze your Broking A/c.

Don'ts

- Do not authorise any other person including our Employees / Sub-broker / Authorised Person to operate your BO account on your behalf.
- Do not leave your DIS booklet or blank signed slips with any third party or your broker/sub-broker.
- Do not sign blank DIS as it is equivalent to a bearer cheque.
- Do not share your User-ID or Password with any third party
- Do not accept Transaction and/or Holding statement of your DP a/c given by any person other than that sent by our DP Team from Mumbai.
- Do not execute Suspicious / Benami transactions failing which we will be compelled to report such transactions to Director FIU-IND, New Delhi under the provisions of Prevention of Money Laundering Act.
- Do not give cash/cheques or transfer securities to our Associates / Employees or any other person as they are not authorised to receive funds or securities in their name.
- Do not give third party cheques / DD for your purchases/ margin obligations.
- Do not give third party deliveries for your sale / margin obligations.
- Do not authorise any other person including our employees/Sub-broker/Authorised Person to place order on your behalf.
- Do not accept any offer of assured return on your funds from any person including our employees/Sub-broker/ Authorised Person, as no one can assure return on your funds due to volatile nature of capital market.