

ALMONDZ GLOBAL SECURITIES LIMITED

“NEWSLETTER”
JANUARY, 2023

Bringing this into your attention regarding this following guidelines:

- ❑ Do Not Accept Any Offers To Invest In Algorithmic Trading Especially Where The Service/Facility Is Marketed With “Claims” Of Huge Return On Investment Along With “Ratings” Assigned To The Strategies And Claims That Similar Returns Would Be Earned In The Future.
- ❑ Derivative Is Complicated Leveraged Products With A Potential For Oversized Gains Or Losses. Also, Options Have Complex Nonlinear Pay-offs. So, It Is Very Important To Understand All The Associated Risks And Returns While Trading In These Products.
- ❑ Clients Are Supposed To Maintain Margins In The Form Of Approved Securities Or Cash Equivalents With Cash Or Cash Equivalents Forming At Least 50% Of The Margin Requirement. Failure To Do So Will Lead To Imposition Of Penal Charges / Delayed Payment Charges
- ❑ With Effect From 1st September,2022 SEBI Has Mandated That Henceforth The POA Given By Clients As Per The Existing Format Will Be Valid Only For OFS, Buy-back Etc. To Allow The Broker To Move Securities For Settlement Obligations Or For Initiating Margin Pledge, The Client Will Now Have To Give “DMAT Debit & Pledge Instruction” (DDPI)
- ❑ Never Disclose Your Trading Credentials Or Share The Password With Anyone. In Case You Do So, Your Trading Account May Get Compromised, Leading To Financial Losses For You.
- ❑ In Case You Deal In Leveraged Products Like Derivatives Or Equity Purchases Not Backed Up With 100% Cash It Could Lead To Rapid Losses Or Squaring Off Of Your Positions.

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- ❑ Writing Or Selling Of Options Is Risky, Especially If You Do Not Understand The Basic Risks Involved**
 - ❑ Please Avoid Dealing On The Basis Of Messages Received Through SMS Or Social Media Platforms Or From Unregistered Investment Advisors / Influencers**
 - ❑ Only Deal With A SEBI Registered Broker And Do Not Be Swayed By Incentives. Always Check For SEBI Registration Number Of Your Broker.**
 - ❑ Do Not Opt. For Digital Contract Note If You Are Not Familiar With Computers Or Do Not Have Your Own Email Account.**
 - ❑ Beware Of Fixed/Guaranteed/Regular Returns/ Capital Protection Schemes. Brokers Or Their Authorized Persons Or Any Of Their Associates Are Not Authorized To Offer Fixed/Guaranteed/Regular Returns/ Capital Protection On Your Investment Or Authorized To Enter Into Any Loan Agreement With You To Pay Interest On The Funds Offered By You**
 - ❑ Be Careful While Executing The POA (Power Of Attorney) / DDPI - Specify All The Rights That The Stock Broker Can Exercise And Timeframe For Which POA Is Valid. It May Be Noted That POA Is Not A Mandatory Requirement As Per SEBI / Exchanges**
 - ❑ Please Ensure That You Fill All The Required Details In 'KYC' Document By Yourself And Receive Duly Signed Copy Of Your 'KYC' Documents From Your Broker. Check For All Conditions That Have Been Agreed And Accepted By You.**

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- ❑ **Don't Ignore Any Emails/Smss Received From The Exchange For Trades Done By You. Verify The Same With The Contract Notes/Statement Of Accounts Received From Your Broker And Report Discrepancy, If Any, To Your Broker In Writing Immediately.**
 - ❑ **You Can Verify The Authenticity Of Trades As Mentioned In Your Contract Note By Visiting <https://www1.nseindia.com/tv>**
 - ❑ **Regularly Verify Consolidated Accounts Statement (CAS) Received From Depositories And Reconcile With Your Trades / Transactions.**
 - ❑ **Please Do Not Transfer Funds, For The Purposes Of Trading To Anyone, Including An Authorized Person Or An Associate Of The Broker, Other Than A Sebi Registered Stock Broker.**
 - ❑ **Sebi Has Maintained That That Running Account Settlement Of Funds Should Be Done Once In Every Month / Quarter. With Effect From October This Settlement Will Be Done On The First Friday Of Every Calendar Quarter, I.E., First Friday Of October 2022, January 2023, April 2023, July 2023 And So On For All Clients. In Case You Have Opted For Monthly Settlement Your Running Account Will Be Settled On The First Friday Of Every Month.**
 - ❑ **We Have Launched Our New Mobile Trading App “Almondz Online Trade” Which Is Available On The Google Play Store As Well As Apple App Store.**
 - ❑ **Monitoring of PEAK INTRADAY upfront margin will start with effect from 1 Feb 2023. For details please refer circular No. 078/2022 dated 17 March 2022.**