

ATTENTION INVESTORS

WE ARE ALSO ENGAGED IN PROPRIETARY TRADING

- Prevent unauthorised transactions in your account --> Update your mobile numbers/ email IDs with us. Receive information of your transactions directly from Exchange on your mobile/email at the end of the day.
Issued in the interest of Investors"
- KYC is 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.
- No need to issue cheques by investors while subscribing to IPO. Just write the bank account number and sign in the application form to authorise your bank to make payment in case of allotment. No worries for refund as the money remains in investor's account.
- All clients are requested to record their email id for electronic despatch of contract and statement. In case of electronic contract note, the link/login for the same is available on website for download.
- Notice on Collection of Upfront Margin from 1 Aug, 2020 in Cash Segment:
It is to inform you that SEBI Vide circular dated August 01, 2019 & February 25, 2020 has made Margin collection (Initial Margin & M2M) mandatory for trading in Cash/Equity Segment effective August 01, 2020 failing which Penalty will be levied by the Exchanges for not meeting the Margin requirement. Therefore in compliance with the same, we request all the clients to provide us the sufficient margin either in the form of Funds and or securities before undertaking any trade on the Exchange through us. Moreover it is also applicable for intraday trades undertaken by the client. We request you to provide the securities in our client Collateral account if you wish to undertake the trade and comply with the SEBI requirement of fulfilling the Margin obligation requirement in Cash Segment (Applicable on both Delivery & Non Delivery). It is also reiterated that SEBI circular also envisages that the Shares can be given for Margin to the Stock broker through Pledge Instruction only initiated through depository System. Therefore in lieu of the same any charges levied by the Depository will be simultaneously charged to clients on actual basis. Therefore we request you to kindly Provide us the Margin as required through SEBI circular as mentioned above in order to meet the margin requirement as applicable for trading in the Cash segment.
- Submit application letter along with photocopy of PAN and address proof requesting activation of Dormant Account.
- All clients are requested to providing the NEFT details of your bank account for receiving directly credit to your account by online. Please submit a cancel cheque in your operating branch.

Precautions for clients dealing in Options

Dear Clients,

NSE Vide its circular dated July 06, 2022 has informed the trading members to carry out due diligence of all those clients wishing to trade in derivative segment of the Exchange more specifically in the Options segment to avoid any kind risk/threat that may occur as the derivative Products are not designed for general Public whose Income does not support the trade Position in Options.

Further in line with this circular all clients trading in derivative segments are informed to kindly update your financial details/income with us so as to avoid disallowance of trading in

derivativeProducts.

Our compliance department will analyse the Income details with the turnover and in case of any serious deviation your account will be blocked for trading in derivative Products and it will be at the sole discretion of Ortem Securities Limited.

Further Please also note that following actions needs your attention at all times and request you to desist from following activity to ensure smooth Operations of your trading account maintained with us.

- Sharing of trading credentials – login id & passwords including OTP's.
- Trading in leveraged products like options without proper understanding, which could lead to losses
- Writing/ selling options or trading in option strategies based on tips, without basic knowledge & understanding of the product and its risks
- Dealing in unsolicited tips through WhatsApp, Telegram, YouTube, Facebook, SMS, calls, etc.
- Trading in "Options" based on recommendations from unauthorised / unregistered investment advisors and influencers.

Margin Pledge declaration:

- Stock Brokers can accept securities as margin from clients only by way of pledge in the depository system w.e.f. September 1, 2020.
- Update your mobile number & email Id with your stock broker/depository participant and receive OTP directly from depository on your email id and/or mobile number to create pledge.
- Pay 20% upfront margin of the transaction value to trade in cash market segment.
- Investors may please refer to the Exchange's Frequently Asked Questions (FAQs) issued vide circular reference NSE/INSP/45191 dated July 31, 2020 and NSE/INSP/45534 dated August 31, 2020 and other guidelines issued from time to time in this regard.
- Check your Securities /MF/ Bonds in the consolidated account statement issued by NSDL every month.

Demat Account Notification:

- As Per NSE Circular dated 10th Feb 2020, on treatment of Inactive client trading account, the following are the Important Points for your information whose accounts are treated as Inactive account.
- Clients who have not traded for more than 12 months.
- If your trading account is treated as Inactive as per NSE Circular then you will have to reactivate your trading account by submitting fresh KYC and other details which may take some time from our side to update and allow you to trade.
- Clients will not be allowed to trade immediately if their account is under Inactive mode.
- In order to trade continuously on the exchange without submitting any fresh KYC/IPV and other documents, it is requested to have at least one trade in 12 months so as not to fall under the category of inactive clients.
- Ortem Securities Limited will not be responsible for not allowing you to trade on immediate basis without updating your KYC at any point of time.
- Therefore trade continuously without any restrictions so as to not miss the immediate opportunity from the market due to updation of KYC etc.

For your necessary action and

Information. Ortem Securities Limited
Compliance department