

GUIDANCE NOTE - DO'S AND DON'TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

- Verify Registration: Ensure that you are dealing with SEBI-registered intermediaries. You can verify Focus Stock Brokers Limited's SEBI registration on SEBI's website (<http://www.sebi.gov.in>) or the stock exchanges' websites.
- Complete KYC: Fill out the KYC form completely and strike off any blank fields.
- Read Mandatory Documents: Familiarize yourself with all mandatory documents, including Rights and Obligations, Risk Disclosure Document, and Policy and Procedure documents provided by Focus Stock Brokers Limited.
- Understand Voluntary Clauses: Read, understand, and sign any voluntary clauses agreed upon with Focus Stock Brokers Limited. These clauses cannot be altered without your consent.
- Clarify Charges: Ensure you have a clear understanding of brokerage, commissions, fees, and other charges levied by Focus Stock Brokers Limited.
- Retain Copies of Documents: Obtain and securely store copies of all executed documents from Focus Stock Brokers Limited free of charge.
- Power of Attorney (POA): If you wish to execute a POA authorizing Focus Stock Brokers Limited to operate your bank and demat accounts, refer to SEBI's guidelines before proceeding.

TRANSACTIONS AND SETTLEMENTS

- Electronic Contract Notes (ECN): Authorize Focus Stock Brokers Limited in writing for ECNs and provide your email ID. Avoid ECNs if unfamiliar with computers.
- Password Confidentiality: Never share your internet trading account password with anyone.
- Avoid Cash Payments: Do not make cash payments to Focus Stock Brokers Limited.
- Make Payments via Cheque: Use account payee cheques in favor of 'Focus Stock Brokers Limited' and retain proof of payment/deposit. Avoid payments in the name of sub-brokers.
- Verify Trades: Use the trade verification facility on stock exchanges' websites to verify trades executed through Focus Stock Brokers Limited. For discrepancies, contact the Investors Grievance Cell of the relevant exchange.
- Running Accounts: Maintain running accounts only if authorized by you in writing, with the right to revoke at any time. Settlements of funds and securities will occur quarterly or monthly, as per your preference. Statements detailing transactions and retention will be provided. Retention of funds/securities will align with SEBI/exchange guidelines for outstanding obligations or margin requirements. Report disputes on statements/settlements to Focus Stock Brokers Limited within seven working days and escalate unresolved issues to the Investors Grievance Cell.
- Non-Running Accounts: If funds/securities are not received on the next working day, escalate the issue to Focus Stock Brokers Limited or the Investors Grievance Cell.
- Trade Alerts: Register your mobile number and email ID with Focus Stock Brokers Limited to receive trade confirmations via SMS or email.
- Timely Payments: Ensure payments for unpaid securities are made promptly to avoid compulsory liquidation.

IN CASE OF TERMINATION OF MEMBERSHIP

- Membership Termination: If Focus Stock Brokers Limited surrenders its membership, is expelled, or declared a defaulter, ensure to lodge claims with the relevant stock exchange within the stipulated timeframe along with supporting documents.
- Investor Protection: Familiarize yourself with the investor protection measures, including the Investors' Protection Fund, which governs the recovery of your money/securities in case of Focus Stock Brokers Limited's insolvency.

DISPUTES/COMPLAINTS

- Arbitration and Penal Actions: Check the stock exchange's website for arbitration proceedings, penal actions, and complaints against Focus Stock Brokers Limited.
- Escalate Unresolved Issues: If your grievance is unresolved by Focus Stock Brokers Limited, escalate it to the stock exchange. If dissatisfied with the resolution, escalate the matter to SEBI.
- Complaint Registration: Use the designated email ID of Focus Stock Brokers Limited's grievance redressal division/compliance officer for complaints: focusstock2009@gmail.com.

For further assistance, contact:

Compliance Officer: Ramesh Kumar
Contact: +91-9873941740
Email: focusstock2009@gmail.com