

### **INVESTOR RISK REDUCTION ACCESS (IRRA)**

In terms of circular no. NSE/ISC/58390 dt 14.09.2023 and SEBI circular no. o SEBI Circular ref. no. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2022/177 dt 30.12.2022, whenever we as TM face challenges conducting regular business due to reasons like technical glitches or outages, The IRRA shall provide investors facility to square off open positions.

Once we as TM requests or qualifies for invocation of IRRA, post completion of invocation process, IRRA platform will send SMS and email notifications to all the UCCs, informing availability of IRRA platform for exiting or squaring off their open positions with link to link to download the IRRA mobile application and URL to access web-based trading platform. Investors can login using their UCC or PAN along with the OTP sent to their registered mobile number and email id.

For details regarding IRRA investors may visit exchange website and refer to above circular for further details.

### **RISK DISCLOSURES ON DERIVATIVES**

- 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.
- On an average, loss makers registered net trading loss close to ₹ 50,000.
- Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs.
- Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source: SEBI study dated January 25, 2023 on “Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options (F&O) Segment”, wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.

### **CLIENTS/ INVESTORS DEALING IN OPTIONS ARE CAUTIONED AGAINST:**

- > 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.

Disclaimer: Investments in securities market are subject to market risks; read all the related documents carefully before investing.

### **FILING COMPLAINTS ON SEBI COMPLAINT REDRESS SYSTEM (SCORES) – EASY & QUICK**

- Register on SCORES portal > Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, E-mail ID.
- Benefits: Effective communication - Speedy redressal of the grievances.
- You can file complaints on SCORES here: <https://scores.gov.in/scores/Welcome.html>
- For online dispute resolution platform - <https://smartodr.in/login>

### **FOR ATTENTION OF INVESTORS:**

- Stock Brokers can accept securities as margin from clients only by way of pledge in the depository system w.e.f. September 01, 2020. (2) Update your email id and mobile number with your stock broker / depository participant and receive OTP directly from depository on

your email id and/or mobile number to create pledge. (3) Check your securities/MF/bonds in the consolidated account statement issued by NSDL/CDSL every month. Issued in the interest of Investors.

- Prevent Unauthorized Transactions in your demat account --> Update your Mobile Number with your Depository Participant. Receive alerts on your Registered Mobile for all debit and other important transactions in your demat account directly from CDSL on the same 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.

### **FACILITY OF VOLUNTARY FREEZEING OR BLOCKING YOUR ONLINE TRADING ACCESS**

As mandated by regulations and in the interest of your safety, we are pleased to inform you that you can voluntarily freeze or block online access, if availed, to your trading account. This service is designed to enhance your security by enabling you to take immediate action if any suspicious activity is detected. This facility shall be available from 1<sup>st</sup> July 2024. For this, you have to email or call us from your registered email id or registered mobile number.

You shall email to Compliance Officer on email id: [jaytoshniwal@yahoo.com](mailto:jaytoshniwal@yahoo.com) and/or send email id: [stoptrade@toshniwalequity.com](mailto:stoptrade@toshniwalequity.com) or call on mobile no: 9930469996.

We shall verify the genuineness of source of your request and block your online access within 15 minutes if request is received within trading hours or before next trading session if request is received after trading hours.

Post such freezing, you shall be informed of such freezing and you shall be informed of your open positions, your offline access continues, your open positions shall be settled/closed by you as per settlement schedule.

Your online access can be re-enabled upon receiving your request and verification as mentioned above.

### **ADVISORY TO INVESTORS ON IMPERSONATION AND UNAUTHORISED MARKET PRACTICES:**

Investors attention is drawn to NSE circular download ref: NSE/INSP/49434 dt 27.08.2021, NSE/INSP/51770 dt 25.03.2022 and NSE/INSP/61754 dt 25.04.2024 regarding advisory to investors on impersonation and unauthorized market practices whereby all Investors are advised to become aware and to abstain from dealing in any schemes of unauthorized collective investment schemes/ portfolio management, indicative/ guaranteed/ fixed returns/ payments; and keep themselves safe by look out for various unsolicited messages being circulated in the market.

All investors are advised to regularly update themselves on the above by perusing NSE press releases on its website <https://www.nseindia.com/invest/advisory-for-investors>