



SPFL Securities Limited

CIN No. : U74899DL1995PLC069581
GSTIN No. : **09AABCS2452C1ZP**
Member : NSEIL & BSE LTD.
D P : NSDL & CDSL
15/63-L, Civil Lines, Kanpur - 208001 (Uttar Pradesh)
Ph. : 7376325889, 7376335889

Dear Investor,

In case of any grievance/complaint against the Stock Broker/Depository Participant:

Please contact Compliance Officer of the:

EQUITY BROKING

Mr. Amit Agarwal, info@spfl.co.in and Mob. +91-8004807822

DEPOSITORY PARTICIPANT

Mrs. Seema Agarwal, depository@spfl.co.in and Mob. +91-902644331

You may also approach Mr. Narendra Kumar Gupta, Managing Director, nkg@spfl.co.in and Phone No. 7376325889 & 7376335889

If not satisfied with the response of the Stock Broker/ Depository Participant, you may contact the concerned Stock Exchange / Depository at the following:

Exchange		Contact No.	Email ID
BSE Limited (BSE)	www.bseindia.com	022-22728097	is@bseindia.com
National Stock Exchange of India Ltd (NSE)	www.nseindia.com	022-26589190, 18002660058	ignse@nse.co.in

Depository	Website	Contact No.	Email ID
CDSL	www.cdslindia.com	1800-21-09911	complaints@cdslindia.com
NSDL	www.nsdl.co.in	022-48867000	relations@nsdl.com

You can also lodge your grievances with SEBI at <https://scores.sebi.gov.in/>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 2667575

Note: Please ensure any fund dealing must be through banking channel only. We do not encourage any cash dealing from any client.



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Do's	Don'ts
<ul style="list-style-type: none">. Please deal through only a SEBI registered trading member / SEBI registered sub-broker.. Insist on a contract note for all dealings, directly from the trading member.. Make payments by account payee cheque and make delivery of securities directly in the name of Trading Member.. Ensure that you will fill the KYC form completely and strike off the blank fields in the KYC form.. Read all mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stockbroker.. Update your contact details such as email id and mobile no. upon any change, immediately with DP and your broker.. Check messages sent by Exchanges on a weekly basis regarding funds / securities / commodities balances reported by the stock broker and immediately raise a concern, if you notice a discrepancy.. If you observe any discrepancies in your account or settlements, immediately take up the same with your stock broker in writing within 7 (seven) working days from date of receipt of the statement. If the Stock Broker does not respond, take up the matter with the Exchange/Depositories.. If in doubt, revoke any authorization given by you at any time.. Beware of fixed/guaranteed returns schemes. Brokers or any of their representatives are not authorized to offer fixed/guaranteed returns on your investment or enter into any loan agreement to pay interest on the funds/securities/commodities offered by you.. Ensure that all your trades are executed as per your instructions.. Opt for Demat Debit and Pledge Instruction (DDPI) only for transfer of securities for deliveries/settlement obligations, initiating pledging of securities for margins, and for mutual fund/open offer transactions on Exchange platform. DDPI/POA are optional and should not be insisted on for opening the account.	<ul style="list-style-type: none">. Do not share password (internet account) with anyone. It is like sharing your safe key.. Do not transfer Securities to your Stock Broker for the purpose of margin. They remain in your account only and you need to only pledge them to your Stock Broker through the pledge mechanism.. Do not transfer funds/securities, for the purposes of trading to anyone other than a registered stock broker or Depository Participants with SEBI.. Don't ignore any emails/SMSs received with regards to trades done by you from the Exchange. 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 and if the stock broker does not respond, with the Exchange/Depositories.. Do not keep funds / securities / commodities idle with the Stock Broker.. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks/ Securities promising huge profits.. Dealing in cash is prohibited. Do not place any securities with the broker or associate of the broker or authorized person of the broker. Do not transfer securities as margin/ collateral to the broker and such securities only must be pledged from the client Demat account.

For further details on Investor Right and Obligations and other related issues, please refer to the Investor Forum Section on the NSE website @ www.nseindia.com or BSE website @ www.bseindia.com