



AAA INSTITUTIONAL SECURITIES PVT LTD

Space On B-16-A, Plot No-5, Community Centre, New Friends Colony, New Delhi - 110065 | Tel. No.: +91-11-45511315 | Mob. No. +91-96677 38861

Email: info@aaa-securities.com | Website: www.aaa-securities.com

CIN: U66120DL2026PTC464792

ANNEXURE

GUIDANCE NOTE – DO’S AND DON’TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI-registered intermediaries. You may check the SEBI registration certificate number of **AAA Institutional Securities Private Limited** and other intermediaries from the list available on the websites of the relevant Stock Exchange(s) and SEBI.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents, viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document and other applicable documents of **AAA Institutional Securities Private Limited**.
4. Ensure that you read, understand and then sign the voluntary clauses, if any, agreed between you and **AAA Institutional Securities Private Limited**. Note that the clauses as agreed between you and the Company cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by **AAA Institutional Securities Private Limited** on you for trading and the relevant provisions/guidelines specified by SEBI and the Stock Exchange(s).
6. Obtain a copy of all the documents executed by you from **AAA Institutional Securities Private Limited** free of charge.
7. In case you wish to execute a Power of Attorney (POA) in favour of **AAA Institutional Securities Private Limited**, authorising it to operate your bank and demat account, please refer to the guidelines issued by SEBI and the Stock Exchange(s) in this regard.



AAA INSTITUTIONAL SECURITIES PVT LTD

Space On B-16-A, Plot No-5, Community Centre, New Friends Colony, New Delhi - 110065 | Tel. No.: +91-11-45511315 | Mob. No. +91-96677 38861

Email: info@aaa-securities.com | Website: www.aaa-securities.com

CIN: U66120DL2026PTC464792

TRANSACTIONS AND SETTLEMENTS

8. AAA Institutional Securities Private Limited may issue electronic contract notes (ECN) if specifically authorised by you in writing. You should provide your email ID to the Company for the same. Do not opt for ECN if you are not familiar with computers.

9. Do not share your internet trading account password with anyone.

10. Do not make any payment in cash to **AAA Institutional Securities Private Limited**.

11. Make payments by account-payee cheque in favour of **AAA Institutional Securities Private Limited**. Do not issue cheques in the name of any sub-broker/Authorised Person. Ensure that you have documentary proof of your payment/deposit of securities with the Company, stating the date, scrip, quantity, the bank/demat account towards which such money or securities are deposited and the bank/demat account from which such money or securities are deposited.

12. Note that the facility of Trade Verification is available on the websites of the Stock Exchange(s), where details of trades as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors' Grievance Cell of the relevant Stock Exchange.

13. In case you have given specific authorisation for maintaining a running account, payout of funds or delivery of securities, as the case may be, may not be made to you within one working day from the receipt of payout from the Exchange. Accordingly, **AAA Institutional Securities Private Limited** shall maintain the running account subject to the following conditions:

- a) Such authorisation from you shall be dated and signed by you only and shall contain a clause stating that you may revoke the same at any time.
- b) The actual settlement of funds and securities shall be done by **AAA Institutional Securities Private Limited** at least once in a calendar quarter or month, depending upon your preference. While settling the account, the Company shall send you a **Statement of Accounts** containing an extract from the client ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds and securities. The statement shall also explain the retention of



AAA INSTITUTIONAL SECURITIES PVT LTD

Space On B-16-A, Plot No-5, Community Centre, New Friends Colony, New Delhi - 110065 | Tel. No.: +91-11-45511315 | Mob. No. +91-96677 38861

Email: info@aaa-securities.com | Website: www.aaa-securities.com

CIN: U66120DL2026PTC464792

funds and securities and the details of pledged shares, if any.

- c) On the date of settlement, **AAA Institutional Securities Private Limited** may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for the next **5 trading days**, calculated in the manner specified by the Exchanges.

In respect of cash market transactions, **AAA Institutional Securities Private Limited** may retain the entire pay-in obligation of funds and securities due from clients as on the date of settlement and, for the next day's business, may retain funds/securities/margin to the extent of the value of transactions executed on the day of such settlement in the cash market.

- d) You should bring any dispute arising from the Statement of Account or settlement so made to the notice of **AAA Institutional Securities Private Limited** in writing, preferably within **7 (seven) working days** from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors' Grievance Cell of the relevant Stock Exchange(s) without delay.

14. In case you have not opted for maintaining a running account and the payout of funds/securities is not received on the next working day of receipt of payout from the Exchanges, please refer the matter to **AAA Institutional Securities Private Limited**. In case there is a dispute, ensure that you lodge a complaint in writing immediately with the Investors' Grievance Cell of the relevant Stock Exchange.

15. Please register your mobile number and email ID with **AAA Institutional Securities Private Limited** to receive trade confirmation alerts/details of transactions through SMS or email, by the end of the trading day, from the Stock Exchange(s).

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case **AAA Institutional Securities Private Limited** surrenders its membership, is expelled from membership or is declared a defaulter, the Stock Exchange(s) may issue a public notice inviting claims relating only to the transactions executed on the trading system of the Stock



AAA INSTITUTIONAL SECURITIES PVT LTD

Space On B-16-A, Plot No-5, Community Centre, New Friends Colony, New Delhi - 110065 | Tel. No.: +91-11-45511315 | Mob. No. +91-96677 38861

Email: info@aaa-securities.com | Website: www.aaa-securities.com

CIN: U66120DL2026PTC464792

Exchange from investors. Ensure that you lodge a claim with the relevant Stock Exchange(s) within the stipulated period and submit the required supporting documents.

17. Familiarise yourself with the protection accorded to the money and/or securities you may deposit with **AAA Institutional Securities Private Limited**, particularly in the event of a default or the Company's insolvency or bankruptcy. The extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock Exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES / COMPLAINTS

18. Please note that details of arbitration proceedings, penal action against brokers and investor complaints against stock brokers are displayed on the website of the relevant Stock Exchange.

19. In case your issue/problem/grievance is not resolved by **AAA Institutional Securities Private Limited**, you may take up the matter with the concerned Stock Exchange. If you are not satisfied with the resolution of your complaint, you may escalate the matter to SEBI.

20. **AAA Institutional Securities Private Limited** shall designate an appropriate email ID of its Grievance Redressal Division/Compliance Officer exclusively for the purpose of registering investor complaints, in accordance with applicable SEBI and Stock Exchange requirements.

Particulars	Details
Company	AAA Institutional Securities Private Limited
Document	Guidance Note- Do's and Don'ts for Trading on the Exchange(s) for Investors
Document Type	Investor Guidance Note / Annexure
Applicable To	All Clients / Investors
Effective Date	24 TH JULY 2026
Reviewed By	Compliance Officer