

# DELHI STOCK EXCHANGE

Where Opportunities begin

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# An Overview of DSE

- ⦿ Incorporated on 25 June 1947
- ⦿ Second largest in the country in terms of listed companies
  - 2855 companies were listed in DSE
  - 1,800 were trading exclusively on DSE
- ⦿ Wide Network of brokers
- ⦿ Committed to develop nation of informed investors

# DSE: At a glance

**June '47**  
Incorporation  
of DSE

**June '56**  
Recording of  
transaction  
in Chopri

**Dec '57**  
SCRA enacted  
and made  
applicable

**Mar '82**  
Permanent  
recognition  
under SCRA

**Apr '92**  
DSE Index  
crosses  
1000 points

**Mar '89**  
Constitution of  
Customer  
Protection Fund

**Feb '88**  
Launched  
DSE Index

**Feb '87**  
Computerized  
recording started

**Jun '96**  
Formation of  
Subsidiary  
- DFSL

**Mar '97**  
All time high  
companies  
listed at 3895

**Aug '97**  
Launched Online  
trading platform

**Dec '97**  
Inauguration of  
DSE house

**Aug '2007**  
DSE completes  
demutualization  
process

**2002**  
DSE stopped  
trading

**Sep '2000**  
All time high  
trading volume at  
Rs. 9648.69 cr

# EMPOWERING INVESTORS THROUGH EDUCATION

DELHI STOCK EXCHANGE

DOs and

DONTs

FOR INVESTORS

# ISSUE OF SECURITIES

## ◎ Dos

- Read the prospectus/abridged Prospectus and carefully note:
- Risk factors pertaining to the issue
- Outstanding litigations and defaults, if any
- Financials of the issuer
- Object of the issue
- Company History
- Background of the promoters
- Instructions before making application.

## ISSUE OF SECURITIES

- In case you do not receive physical clarifications/credit to demat account or application money refund , lodge a complaint with compliance officer of issuer company and post issue lead manager as stated in the offer document.



# ISSUE OF SECURITIES

## DONTs

- Do not invest based on bull run of the market index/scrips of other companies in same industry/issuer company.
- Do not bank upon the price of the shares of the issuer company to go up in the short run.
- Do not fall prey to market rumors
- Do not go by any implicit/explicit promise made by the issuer or any one else

## DEALING WITH BROKERS & SUB-BROKERS

### ◎ DOs

- Deal only with SEBI registered intermediaries.
- Ensure that the intermediary has a valid registration certificate.
- Ensure that the intermediary is permitted to transact in the market.
- State clearly who will be placing orders on your behalf.
- Insist on client registration form to be signed by the intermediary before commencing operations.
- Enter into an agreement with your broker or sub-broker setting out terms and conditions clearly.

## DEALING WITH BROKERS & SUB-BROKERS

### DOs

- Insist on contract notes/confirmation memo for trades done each day
- Insist on bill for every settlement.
- Ensure that broker's name, trade time and number, transaction price and brokerage are shown distinctly on the contract note.
- Insist on periodical statement of accounts.
- Issue cheques/drafts in trade name of the intermediary only.
- Ensure receive of payment /deliveries within 48 hours of payout.

## DEALING WITH BROKERS & SUB-BROKERS

### DOs

- ⦿ In case of disputes, file written complaint to intermediary/Stock Exchanges, SEBI within a reasonable time.
- ⦿ In case of sub-broker disputes, inform the main broker about the dispute within 6 months.
- ⦿ Familiarize yourself with the rules, regulations and circulars issued by Stock Exchanges, SEBI before carrying out any transaction.

## DEALING WITH BROKERS & SUB-BROKERS

### ◎ DONTs

- Do not deal with unregistered intermediaries.
- Do not pay more than the approved brokerage to the intermediary.
- Do not undertake deals for orders.
- Do not neglect to set out in writing, orders for higher value given over phone.
- Do not sign blank Delivery instruction slip(s) while meeting security payin obligation.
- Do not accept unregistered /duplicate contract note/confirmation memo.

## DEALING WITH BROKERS SUB-BROKERS

### ◎ DON'Ts

- Don't accept contract note/confirmation memo signed by any unregistered person.
- Don't delay payments/deliveries of securities to broker/sub-broker.
- Don't get carried away by luring advertisement, if any.
- Don't be led by market rumors or get into shady transactions.

Thank You