



**Dovetail**

**OHM DOVETAIL PRIVATE  
LIMITED**

**Investor Charter**



## INVESTOR CHARTER

### Vision:

To follow highest standards of ethics and compliances while facilitating the Derivative Clearing Services to clients in NSE & MCX in a fair and transparent manner, so as to contribute in creation of wealth for investors.

### Mission:

- To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- To establish and maintain a relationship of trust and ethics with the investors.
- To observe highest standard of compliances and transparency.
- To always keep 'protection of investors' interest' as goal while providing service.

### Service Provided to Investors:

- Clearing of trades on behalf of investors.
- Issuance of intimations regarding margin due payments.
- Facilitate client profile changes in the system as instructed by the client.
- Risk management systems to mitigate operational and market risk.

### Rights of Investors:

- Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself.
- Receive account statements that are accurate and understandable.
- Access your funds in a timely manner and receive information about any restrictions or limitations on access.
- Discuss your grievances with compliance officer of the firm and receive prompt attention to and fair consideration of your concerns.
- Receive a copy of all completed account forms and agreements.
- Understand the terms and conditions of transactions you undertake.
- Receive complete information about maintenance or service charges, transaction or and penalties.



### Various activities of Clearing Member with timelines:

Sl.No	Activities	Expected Timelines
1	KYC entered into KRA System and CKYCR	10 days of account opening
2	Client Onboarding	Immediate, but not later than one week
3	Trade Confirmation	Immediate on receipt of trade with proper Checks & controls on Risk Monitoring
4	Allocation of CP code	After Due diligence and completion of execution of documents
5	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the clearing member
6	Issuance of contract notes	It is not required for Clearing Members who only clear and settle trades.
7	Collection of upfront margin from client	Before initiation of trade
8	Issuance of intimations regarding other margin due payments	At the end of the T day
9	Investor grievances redressal	30 days from the receipt of the complaint



## DOs and DON'Ts for Investors:

Sl.No	DOs	DONT's
1	Read all documents and conditions being agreed before signing the account opening form.	Do not deal with unregistered stock broker.
2	Receive a copy of KYC, copy of account opening documents and Unique Client Code.	Do not forget to strike off blanks in your account opening and KYC.
3	Read the product / operational framework / timelines related to various Trading and Clearing & Settlement processes.	Do not submit an incomplete account opening and KYC form.
4	Receive all information about brokerage, fees and other charges levied.	Do not forget to inform any change in information linked to Clearing account and obtain confirmation of updation in the system.
5	Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions.	Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker.
6	If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting Power of Attorney, carefully examine the scope and implications of powers being granted.	Do not ignore any emails / SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed.
7	Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT etc. as applicable,	Do not ignore any emails / SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed.



Sl.No	DOs	DONT's
	separately, within 24 hours of execution of trades.	
8	Receive funds and securities / commodities on time within 24 hours from pay-out.	Do not share trading password.
9	Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges.	Do not fall prey to fixed / guaranteed returns schemes.
10	Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stockbroker as per the option given by the client (30 or 90 days).	Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.
11	In case of any grievances, approach stockbroker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments.

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