



Keynote on Broker Services and Investors Right



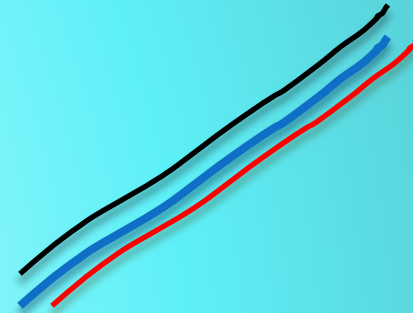
Presentation by
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Sr. Vice President, DBA





Introduction of the Broker

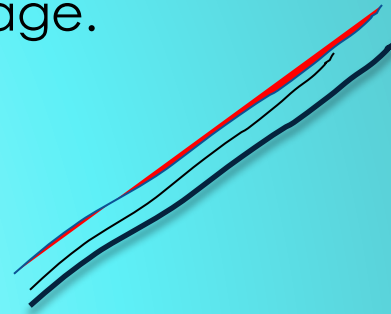
A broker house is an entity that has the permission of Bangladesh Securities and Exchange Commission (BSEC), among others, to offer securities in public trading acquire and sell securities, and offer portfolio management and investment services to its clients.





Introduction of Investor

An Investor is a person or other entity (such as firm or mutual fund) that allocates capital with the expectation of a future financial return or to gain an advantage.





Key Services of Broker

- ☐ Open an Account
- ☐ Financial Transaction
- ☐ Trading
- ☐ Reporting
- ☐ IPO
- ☐ DP Service
- ☐ Investment Education





Open an Account

- ☐ Trading Account
 - Single Account
 - Joint Account
- ☐ Institutional Investment Account
- ☐ EI investment Account
- ☐ NRB Account





Financial Transaction

- ☐ Fund Deposit and Withdrawal
- ☐ Cash Deposit (as per notification)
- ☐ BEFTN
- ☐ Transparent Financial Transaction





Trading

- ☐ Online Trading
- ☐ Phone Trading
- ☐ DSE Mobile Apps
- ☐ Physical Trading





Reporting

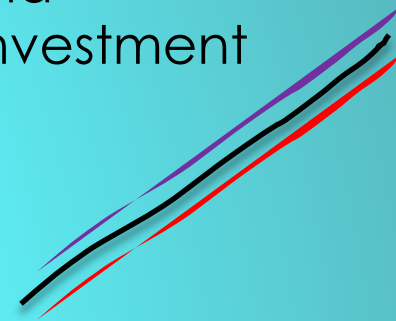
- ☐ Portfolio
- ☐ Trade Confirmation
- ☐ Transaction Statement
- ☐ Different Reporting





IPO (Initial Public Offering)

- ☐ IPO
- ☐ IPO (Online)
- ☐ IPO Refund
- ☐ Pre IPO Investment





DP Service

- ☐ BO Account Opening
- ☐ Share Demat and Remat
- ☐ Share Transfer
- ☐ Transfer Ownership
- ☐ Share Pledge
- ☐ Different DP Report





Investment Education

- ☐ Investment Awareness Program
- ☐ Financial Education
- ☐ Securities Rules and Regulation
- ☐ Market and Economic Knowledge





Investor's Right

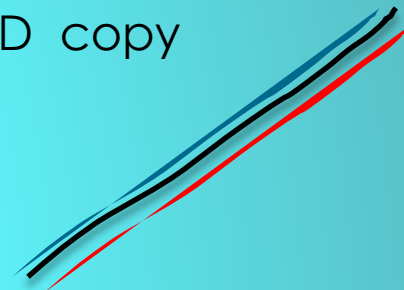
- ☐ Account Open
- ☐ Fund Deposit and Withdraw
- ☐ Fees and Charges
- ☐ Transaction/ Settlement
- ☐ Information and Others





Account Open

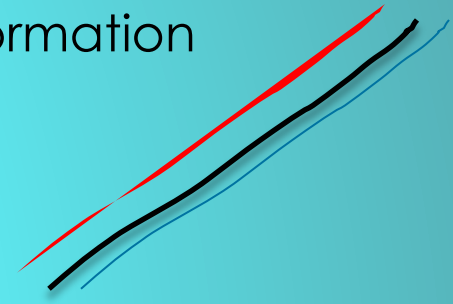
- ☐ Account opening form fill up properly
- ☐ KYC form
- ☐ BO Acknowledgment copy with details information
- ☐ Nominee form with % and power of Attorney (if any)
- ☐ Closing form with CDBL copy
- ☐ Signature
- ☐ Bank Statement, Photo, NID copy





Fund Deposit and Withdraw

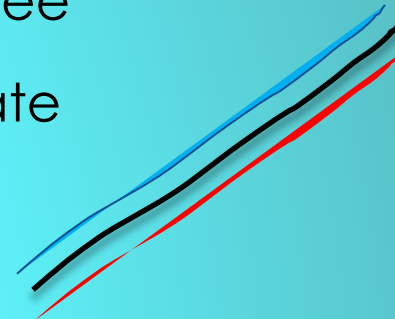
- ☐ Provide Deposit slip
- ☐ Deposit reflex in portfolio
- ☐ Fund withdrawal slip with signature
- ☐ BEFTN confirmation
- ☐ Fund withdrawal information





Fees and Charges

- ☐ Account opening fee
- ☐ Trading Commission
- ☐ CDBL settlement fee (if any)
- ☐ Yearly BO account renewal fee
- ☐ Tax Certificate fee
- ☐ Any other fee
- ☐ Loan interest Rate





Transaction/ Settlement

- ☐ Transparent Trading service
- ☐ Buy/ Sale order execute properly
- ☐ Trading in good price
- ☐ Transaction confirmation
- ☐ Provide daily portfolio
- ☐ Provide daily transaction
- ☐ Block trading information





Information & Others

- ☐ Price Sensitive Information (PSI)
- ☐ Know Settlement Rules
- ☐ Securities Law
- ☐ Link transfer
- ☐ Investors Awareness
- ☐ IPO Prospectus and result of lottery
- ☐ Participation of AGM
- ☐ Inquiry any company Balance Sheet or PSI
- ☐ Complain Register



Thank you

