

## Do's

### Pre Account Opening

- Always deal only with SEBI registered intermediaries / authorized persons. Check with the Exchange to see whether the member is registered with the Exchange.
- Please carry out due-diligence before registering as client with any Intermediary. Further, you are requested to carefully read and understand the terms and conditions and the contents stated in the Risk Disclosure Document, which forms part of investor registration requirement for dealing through brokers in Stock Market.

### Account Opening

- Read and understand every document in the Registration Kit carefully before signing.
- Enter accurate and complete details in Know Your Client (KYC) form, fill up all the fields and provide all the required attachments. Do not leave any spaces blank.
- The correspondence address should always be updated.

### Pre Trading

- Adopt trading / investment strategies commensurate with your risk bearing capacity, as all investment carry risk, the degree of which varies according to the investment strategy adopted.
- Assess risk - return profile of the investment as well as the liquidity and safety aspects before making and / or acting upon your investment decision.
- Familiarize yourself with the rules, regulations and circulars issued by stock exchanges / SEBI before carrying out any transaction.
- Please be informed that there are no guaranteed return on investment in stock market investment in Capital Market is subject to market risk.

### Trading

- Before placing an order with the market intermediaries please check about credentials of the companies, its management, its fundamentals and recent announcements made by them and various other disclosures made under various Regulations. The sources of information are the website of Exchanges and companies, databases and data vendor, business magazines etc...
- Call on the landline number of your local branch and give clear and unambiguous instruction while placing order over the phone. In case you visit the branch office, kindly give your orders in writing.
- Please bear in mind that while it is our endeavor to inform you in case of a margin call, it is your responsibility to maintain margins. The Company will square up outstanding position in case of shortfall in margin and delay in payments.

### Post Trading

- Always insist on contract notes from your Broker. In case of doubt of your transactions, verify the genuineness of the same on the Exchange website.
- Always insist on periodical statements of your ledger.
- It is advisable to provide us your valid e-mail account so that your contract notes are posted on the same day of trading
- Always settle the dues through the normal banking channels with the market intermediaries
- Always issue cheques/ drafts in the trade name of the trading member from your own bank account only and deliver securities into the pool account of the trading member from your own beneficiary account only.
- Please insist for an official receipt for all payments made by you to the trading member either by cheque or demand draft. You should mention your trading code and segment for which the payment is made on the reverse of the instruction.
- Please insist for a statement of account at regular intervals and check for all the entries therein. Any discrepancies should be brought to the notice of higher authorities at the HO.

For further details on Investor Rights and Obligations and other related issues, please refer to the Investor Forum section on the NSE Website at [www.nseindia.com](http://www.nseindia.com) or the booklet 'Guiding light for Investors', a copy of which is available with the TM/ Registered Sub-broker.

## **Don'ts**

### **Account Opening**

- Do not start trading until you have read and understood the Risk Disclosure Document and Member-Client Agreement.
- Do not fill in wrong or incomplete details. Do not overwrite, cancel, mis-spell the details.

### **Pre Trading**

- Do not deal with any third party / unregistered intermediaries / authorized person.
- Do not be influenced by information which is not originated from an appropriate source.
- Do not be misled by rumors or tips.
- Do not get carried away by luring advertisements, if any, media reports on corporate developments, as they could be misleading.
- Do not undertake deals on behalf of others
- Do not fall prey to promises of guaranteed returns.
- Do not blindly imitate investment decisions of others who may have profited from their investment decisions.
- Do not leave signed blank Delivery Instruction Slips (DIS) of your depository account.
- Do not sign blank Delivery Instruction Slips (DIS) and keep them with the Depository Participant or broker to save time.

### **Trading**

- Do not reveal your password to any other person.
- Do not forget to take note of risks involved in the investment.

### **Post Trading**

- Do not accept unsigned / duplicate contract note / confirmation memo.
- Do not make payment in cash / delivery of securities from any account other than own beneficiary account.
- Do not delay payment / deliveries of securities of Brokers / Sub-broker.
- Do not make payment of money / delivery of securities in the personal account of the authorized persons / sub-broker / employees of the trading member.

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