

1. Attention Investors:

- "Prevent Unauthorised transactions in your account. Update your mobile numbers / Email ID's with your stock brokers. Receive information of your transactions directly from Exchange on your mobile / Email at the end of the day. Do not trade on the basis of SMS or Tips. Take informed Decision before investing..... Issued in the public interest of investors"
- KYC is one time exercise while dealing in securities markets - Once KYC is done through a SEBI registered intermediary (Broker, DP, Mutual fund etc.), you need not undergo the same process again when you approach another intermediary.
- "No need to issue Cheques by investors while subscribing to IPO. Just write the bank account number and sign in the application form to authorise your Bank to make payment in case of allotment. No worries for refund as the money remains in investor's account. "

2) Advisory for Investors:

- Beware of Fixed / Guaranteed / Regular return / Capital Protection scheme. Brokers or their authorised person or any of their associates are not authorised to offer Fixed / Guaranteed / Regular returns / Capital Protection on your investment or authorised to enter into any loan agreement with you to pay interest on the funds offered by you. Please note that in case of default of member, claim for funds or securities given to the broker under any arrangement / agreement of indicative return will not be accepted by the relevant committee of the exchange as per the approved norms.
- Do not keep funds idle with stock Broker. Please note that your Stock Broker has to return the credit balance lying with them, within three working days in case you have not done any transaction within last 30 calendar days. Please note that in case of default of a Member, claim for funds and securities, without any transaction on the exchange will not be accepted by the relevant committee of the exchange as per the approved norms.
- Check frequency of accounts settlement opted for. If you have opted for running account, please ensure that your broker settles your account and in any case, not later than once in 90 days (or 30 days if you have opted for 30 day settlement). In case of declaration of trading member as defaulter, the claims of clients against such defaulter

member would be subject to norms for eligibility of claims for compensation from IPF to the clients of the defaulter member.

- These norms are available on Exchange website at following link.
- <https://www.nseindia.com/invest/about-defaulter-section>.
[https://www.bseindia.com/static/investors/Claim against Defaulter.aspx](https://www.bseindia.com/static/investors/Claim_against_Defaulters.aspx)
- Brokers are not permitted to accept transfer of securities as margin. Securities offered as margin / Collateral MUST remain in the account of client and can be pledged to the broker only by way of 'Margin Pledge', created in the Depository System. Clients are not permitted to place any securities with the broker or associate of the broker or authorised person of the broker for any reason. Broker can take Securities belonging to the clients only for settlement of securities sold by the client.
- Always keep your contact details viz. Mobile number / Email ID updated with the stock broker. Email and Mobile number is mandatory and you must provide the same to your broker for updation in Exchange records. You must immediately take up the matter with Stock Broker / Exchange if you are not receiving the message from Exchange / Depository regularly. |
- Don't ignore any Emails / SMS's received from the Exchange for trades done by you. Verify the same with the Contract notes / Statement of accounts received from your Broker and report discrepancies, if any, to your Broker in writing immediately and if the stock broker does not respond, please take this up with the Exchange / Depository forthwith.
- Check messages sent by Exchange on a weekly basis regarding funds and securities balances reported by the trading member, compare it with the weekly statement of account sent by the broker and immediately raise a concern to the exchange if you notice a discrepancy.
- Please do not transfer funds, for the purpose of trading to anyone, including an authorised person or an associate of the broker, other than SEBI registered Stock Broker."