**ATTENTION INVESTORS !**

**DOs & DON’Ts**

**DO’s**

* FAMILIARIZE YOURSELF WITH THE RELEVANT PROVISION OF RULES, REGULATIONS, BYE-LAWS AND CIRCULARS ISSUED BY STOCK EXCHANGES /SEBI FROM TIME TO TIME, BEFORE CARRYING OUT ANY TRANSACTION.
* ENSURE THAT THE TRADES ARE EXECUTED ON RECOGNIZED EXCHANGE
* DEAL ONLY WITH SEBI REGISTERED INTERMEDIARIES / AUTHORIZED PERSONS
* STATE CLEARLY WHO WILL BE PLACING ORDERS ON YOUR BEHALF IN WRITING
* INSIST ON CLIENT REGISTRATION FORM TO BE SIGNED BY THE BROKER BEFORE COMMENCING OPERATIONS.
* ENTER WITH AGREEMENT WITH YOUR BROKER AND INSIST ON A COPY.
* READ THE TERMS AND CONDITIONS AND UNDERSTAND THE RISK FACTORS ASSOCIATED WITH THE STOCK MARKET INVESTMENT.
* ENSURE RECEIPT OF BILLS AND (CONTRACT NOTES) FROM BROKER FOR TRADE DONE EACH DAY.
* ISSUE CHEQUE / DRAFT IN TRADE NAME OF THE TRADING MEMBER ONLY AND DELIVER SHARES INTO THE BUSINESS ACCOUNT(POOL ACCOUNT) ONLY.
* ENSURE RECEIPTS OF PAYMENT/DELIVERIES WITHIN ONE WORKING DAY OF PAYOUT BY THE EXCHANGE
* REVIEW YOUR CONTRACT NOTES/ TRADE CONFIRMATION ON DAILY BASIS WHEN TRADE IS EXECUTED
* ENSURE THAT A STATEMENT OF ACCOUNT IS RECEIVED FROM BROKER ON QUARTERLY BASIS FOR THE TRADES EXECUTED IN THE QUARTER
* IN CASE OF DISPUTES, FILE WRITTEN COMPLAINTS INTERMEDIARY / STOCK EXCHANGE/ SEBI WITHIN 10 DAYS
* CHECK FOR PUBLIC NOTICE AND PRESS RELEASES MADE BY THE EXCHANGE ON THE WEBSITE i.e, NSEINDIA.COM OR BSEINDIA.COM OR SEBI.GOV.IN

**DON’Ts:**

* DO NOT DEAL WITH THIRD PARTIES/ UNREGISTERED INTERMEDIARIES/ UNAUTHORIZED PERSONS.
* DO NOT MAKE PAYMENT OF MONEY / DELIVERY OF SHARES FROM ANY ACCOUNT OTHER THAN OWN BENEFICIARY ACCOUNT.
* DO NOT MAKE PAYMENT OF MONEY / DELIVERY OF SHARES IN THE PERSONAL ACCOUNT OF THE AUTHORIZED PERSONS/ EMPLOYEES OF THE TRADING MEMBER.
* DO NOT DEPOSIT MONIES /SHARES WITH THE TRADING MEMBER WHICH IS NOT DEPOSITED SPECIFICALLY AS MARGIN & NOT LINKED TO ANY TRADES EXECUTED ON THE EXCHANGE.
* DO NOT UNDERTAKE DEALS FOR OTHERS.
* DO NOT SIGN BLANK DELIVERY INSTRUCTION SLIPS WHILE MEETING SECURITY PAYIN OBLIGATIONS.
* DO NOT ACCEPT UNSIGNED /DUPLICATE CONTRACT NOTE OR MEMO.
* DO NOT DELAY PAYMENT / DELIVERIES OF SECURITIES TO TRADING MEMBER
* DO NOT GET CARRIED AWAY BY LURING ADVERTISEMENTS, IF ANY.
* DO NOT BE LED BY MARKET RUMOURS OR GET INTO SHADY TRANSACTIONS.
* DO NOT DELAY TAKING UP MATTERS WITH REGULATORY BODIES LIKE THE EXCHANGE/ SEBI (TO AVOID ATTRACTING PROVISIONS OF BYELAW 3 OF BYELAWS OF EXCHANGE PERTAINING TO LIMITATION).