

## Dos and DON'Ts for Investors

	Dos		DON'Ts
1.	Read all documents and conditions being agreed before signing the account opening form.	1.	Do not deal with unregistered stock broker.
2.	Receive a copy of KYC, copy of account opening documents and Unique Client Code.	2.	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	3.	Do not submit an incomplete account opening and KYC form.
4.	Receive all information about brokerage, fees and other charges levied.	4.	Do not forget to inform any change in information linked to trading 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.	5.	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.	6.	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, separately, within 24 hours of execution of trades.	7.	Do not opt for digital contracts, if not familiar with computers.
8.	Receive funds and securities / commodities on time within 24 hours from pay-out.	8.	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.	9.	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 stock broker as per the option given by the client (30 or 90 days).	10.	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 stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines	11.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments.

## Grievance Redressal Mechanism

**Level 1** – Approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 30 days of the receipt of the grievance.

**Level 2** – Approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange.

Complaints Resolution Process at Stock Exchange explained graphically: