

## Attention Investors

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- Prevent unauthorised transactions in your account. Update your mobile numbers/email IDs with us. Receive information of your transactions directly from Stock Exchange / Depositories on your mobile/email at the end of the day.
- ASBA :- "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 investors account."
- Investment in securities market are subject to market risks, read all the related documents carefully before investing. Registration granted by SEBI, membership of BASL (in case of IAs) and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to 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.
- Kindly note that as per NSE circulars nos: NSE/INVG/36333 dated November 17, 2018, NSE/INVG/37765 dated May 15.2018 and BSE circular nos: 20171117-18 dated November 17, 2018, 20180515-39 dated May 15.2018, trading in securities in which unsolicited messages are being circulated is restricted. The list of such stocks is available on the website of NSE & BSE. Investors are advised not to blindly follow the unfounded rumours, Tips given in social networks, SMS, WhatsApp, Blogs etc. and invest only after conducting appropriate analysis of respective companies.
- Clients are cautioned and advised to refrain from placing any order at unrealistic prices i.e. at prices which do not reflect the current market price and are far away from the LTP / reference price / theoretical price or which are at extreme end of the operating range and have no economic rationale when compared with LTP / reference price / theoretical price / underlying price movement. Please note that trades arising from such orders at unrealistic prices leads to aberrations in the price discovery process. Clients are advised to desist from entering orders or executing transactions which, prima facie, appear to be non - genuine and refrain from indulging in such practice leading to aberrations in the order book.
- As per NSE circular dated [March 25, 2022](#), BSE circular dated [March 25, 2022](#), NSE circular dated [July 6, 2022](#) and BSE circular dated [July 6, 2022](#), investors are cautioned to abstain them from dealing in any schemes of unauthorised collective investments/portfolio management, indicative/ guaranteed/fixed returns / payments etc. Investors are further cautioned to avoid practices like:
  - a. Sharing i. trading credentials – login id & passwords including OTP's., ii. trading strategies, iii. position details.
  - b. Trading in leveraged products /derivatives like Options without proper understanding, which could lead to losses.
  - c. Writing/ selling options or trading in option strategies based on tips, without basic knowledge & understanding of the product and its risks
  - d. Dealing in unsolicited tips through like Whatsapp, Telegram , Instagram, YouTube, Facebook, SMS, calls, etc.
  - e. Trading / Trading in "Options" based on recommendations from unauthorised / unregistered investment advisors and influencers.
- Filing of complaints on SCORES - Easy & quick

- a. Register on SCORES portal -<https://scores.gov.in>
- b. Mandatory details for filing complaints on SCORES
  - i. Name, PAN, Address, Mobile Number, E-mail ID
- c. Benefits:
  - i. Effective communication
  - ii. Speedy redressal of grievances
- Online Resolution disputes
  - [SEBI Circular](#)  
<https://smartodr.in/login>
- Investor Awareness Regarding The Revised Guidelines On Margin Collection:  
"Attention Investors
  - 1. Stock Brokers can accept securities as margin from clients only by way of pledge in the depository system w.e.f. September 01, 2020.
  - 2. Update your email id and mobile number with your stock broker / depository participant and receive OTP directly from depository on your email id and/or mobile number to create pledge.
  - 3. Check your securities / MF / bonds in the consolidated account statement issued by NSDL/CDSL every month...... Issued in the interest of Investors"

## Advisory for investors

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- Beware of fixed/guaranteed/regular returns/ capital protection schemes. Brokers or their authorized persons or any of their associates are not authorized to offer fixed/guaranteed/regular returns/capital protection on your investment or authorized 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 a 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 the 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 the 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 days 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 links  
  
NSE: <https://www.nseindia.com/invest/about-defaulter-section>  
BSE: [https://www.bseindia.com/static/investors/Claim\\_against\\_Defaulter.aspx](https://www.bseindia.com/static/investors/Claim_against_Defaulter.aspx)
- Brokers are not permitted to accept transfer of securities as margin. Securities offered as margin/ collateral MUST remain in the account of the 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 authorized person of the broker for any reason. Broker can take securities belonging to 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 messages from Exchange/Depositories regularly.
- Don't ignore any emails/SMSs 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 discrepancy, if any, to your broker in writing immediately and if the Stock Broker does not respond, please take this up with the Exchange/Depositories forthwith.
- Check messages sent by Exchanges on a weekly basis regarding funds and securities balances reported by the trading member, compare it with the weekly statement of account sent by broker and immediately raise a concern to the exchange if you notice a discrepancy
- Please do not transfer funds, for the purposes of trading to anyone, including an authorized person or an associate of the broker, other than a SEBI registered Stock broker.

## Advisory on Impersonation and Unauthorised Market Practices

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NSE: <https://nsearchives.nseindia.com/content/circulars/INSP61754.pdf>

BSE: <https://www.bseindia.com/markets/MarketInfo/DispNewNoticesCirculars.aspx?page=20240425-43>

## Risk Disclosures (Applicable To Individual Clients Registered In Equity Futures And Options (F&O) Segment)

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Risk Disclosures On Derivatives
<ul style="list-style-type: none"><li>• 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.</li><li>• On an average, loss makers registered net trading loss close to ₹ 50,000.</li><li>• Over and above the net trading losses incurred, loss makers expended and additional 28% of net trading losses as transaction costs.</li><li>• Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.</li></ul>

Source:

[1. SEBI study dated January 25, 2023 on "Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options \(F&O\) Segment", wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.](#)

## E-voting facility for Investors

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In order to increase the efficiency of the voting process, Depositories have enabled e-voting process for all demat account holders by way of a single login credential, through their demat accounts /websites of

Depositories / Depository Participants. Demat account holders can cast their vote without having to register again with the E-voting Service Providers (ESP), thereby, not only facilitating seamless authentication but also enhancing ease and convenience of participating in e-voting process. Investors can login use the below e-voting platforms provided by NSDL and CDSL to cast their votes as shareholder.

NSDL e-Voting website link - <https://www.evoting.nsdl.com/>

CDSL e-Voting website link - <https://www.evotingindia.com/>

For more information, please reach out to your respective Depository Participant with whom you have opened your Demat account.

## **Client Registration Documents (Rights & Obligations, Risk Disclosure Document, Dos & Don'ts) in Vernacular Languages.**

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The Client Registration Documents in vernacular languages are available at the following links. It may be noted that the documents are a translated version of the original documents in English. In case of any ambiguity the contents of the English version would prevail.

NSE: <https://www.nseindia.com/trade/members-client-registration-documents>

BSE: [https://www.bseindia.com/static/investors/client\\_regislanguages.aspx?expandable=3](https://www.bseindia.com/static/investors/client_regislanguages.aspx?expandable=3)

## **Awareness on Rights Entitlements**

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SEBI vide circular SEBI/HO/CFD/DIL2/CIR/P/2020/13 dated January 22, 2020 has streamlined the process to be followed in case of Rights Issue. One of the key features introduced in the process of Rights Issues was dematerialization of Rights Entitlements (REs) and ability to renounce Rights Entitlements (REs) by trading on stock exchange platform or off-market transfer through depository mechanism. REs shall be traded in the secondary market platform of stock exchanges with T+2 rolling settlement similar to equity shares. As the launch of trading of REs in the secondary market platform of stock exchanges is very recent, it is felt that there is a need to increase awareness to guide the investors with respect to procedural and operational aspects of REs issued under Rights Issue. In view of the same, the investors are informed about the commencement of trading in REs (refer the relevant circular/notice issued by BSE and NSE from time to time, specifying the details about each Right Issue, including the relevant ISIN of the RE) and that the same shall not be mistaken for ordinary shares of the concerned company.

BSE Notices: <https://www.bseindia.com/markets/MarketInfo/NoticesCirculars.aspx>

NSE Circulars: <https://www.nseindia.com/resources/exchange-communication-circulars>

Disclaimer: The purchase of REs only gives investors the right to participate in the ongoing Rights Issue of the concerned company by making an application with requisite application money or renounce the REs before the issue closes. REs which are neither subscribed by making an application with requisite application money nor renounced, on or before the Issue closing date shall lapse and shall be extinguished after the Issue closing date.