

DO'S AND DON'TS WHILE DEALING IN SECURITIES MARKET

1. Don't ignore any emails/SMSs received with regards to trades done by you. Verify the details of the same and report discrepancy, if any, to your broker in writing immediately.
2. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same.
3. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with your stockbroker and or the Investors Grievance Cell of the relevant Stock exchange.
4. Bring dispute to notice of broker in writing within 7 (seven) working days from date of receipt of contract notes, funds/securities or statement.
5. Check the frequency of accounts settlement opted for and verify your monthly/quarterly settlement statements. Any discrepancies observed therein should be brought to the notice of your stockbroker in writing immediately
6. Update your Financial Income/ Net worth with your Stockbroker on every year.
7. Update your company details such as Details of Directors, Shareholding Pattern, Authorised Signatory upon any change immediately with your Stockbroker and DP.
8. Keep DIS slips of your DP account very carefully in safe place just as you keep your cheque books. Do not sign blank DIS slips or handover the same to any person.
9. Get full and clear information about all brokerage, commissions, fees, other charges levied by Broker/DP.
10. Check your daily margin statement for any pending/outstanding margin obligation in respect of your trades/open positions.
11. Please pay for the margin/mark to market loss on time as per the demand raised by the broker.
12. Don't share your internet trading account's login and password with anyone.
13. Keep regular check of your account. Please see to it that your accounts are settled as per the preference set by you.
14. Examine & Review your trading/demat account periodically as you do with your bank accounts.
15. Don't trust any hot investment tips providing unrealistic returns on investments. Brokers or any of their representatives are not authorized to offer fixed/guaranteed returns on your investments or enter into any loan agreement to pay interest on the funds/securities offered by you.
16. Do not fall prey to emails and SMSs luring you to trade in Stocks/Securities promising huge profits.

17. Don't invest blindly on free tips or recommendations for multi-bagger stocks that you receive, no matter how appealing they may sound.
18. Don't get carried away with advertisements about the financial performance of companies in print and electronic media.
19. Don't blindly follow media reports on corporate developments, as some of these could be misleading.
20. Don't blindly imitate investment decisions of others who may have profited from their investment decisions.
21. Do your own study about the fundamentals of the company whose shares you are buying.
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27. Update your Financial Income/ Net worth with your Stockbroker every year.
28. Update your company details such as Details of Directors, Shareholding Pattern, Authorised Signatory upon any change immediately with your Stockbroker and DP.
29. Do not share trading credentials – login id & passwords including OTP's.
30. Do not trade in options without proper understanding, which could lead to losses
31. Do not trade in Writing/ selling options or trading in option strategies based on tips, without any knowledge & understanding of the product and its risks.
32. Avoid dealing in unsolicited tips through WhatsApp, Telegram, YouTube, Facebook, SMS, calls, etc.
33. Do not Trading in "Options" based on recommendations from unauthorised / unregistered investment advisors and influencers.