

DO'S AND DON'TS FOR INVESTORS

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Given below are some general Do's and Don'ts for investors:

Do's :

- Always deal with the market intermediaries registered with SEBI / stock exchanges.
- Collect photocopies of all documents executed for registration as a client, immediately on its execution. Ensure that the documents or forms for registration as Client, are fully filled in.
- Give clear and unambiguous instructions to your broker / agent / depository participant.
- Always insist on contract notes from your broker. In case of doubt in respect of the transactions, verify the genuineness of the same on the BSE website.
- Always settle the dues through the normal banking channels with the market intermediaries.
- Before placing an order with the market intermediaries, please check about the credentials of the companies, its management, fundamentals and recent announcements made by them and various other disclosures made under various regulations. The sources of information are the websites of Exchanges and companies, databases of data vendor, business magazines etc.
- Adopt trading / investment strategies commensurate with your risk-bearing capacity as all investments carry some risk, the degree of which varies according to the investment strategy adopted.
- Carry out due diligence before registering as client with any intermediary. Carefully read and understand the contents stated in the Risk Disclosure Document, which forms part of the investor registration requirement for dealing through brokers.
- Be cautious about stocks which show a sudden spurt in price or trading activity, especially low price stocks.
- There are no guaranteed returns on investment in the stock market .
- Always keep copies of all investment documentation (e.g. application forms, acknowledgements slips, contract notes).
- Always keep copies of documents you are sending to companies, Trading Member, Registrar and Transfer Agent, etc.
- Send important documents by a reliable mode (preferably through registered post) to ensure delivery.

- Ensure that you have money before you buy.
- Ensure that you are holding securities before you sell.
- Follow up diligently and promptly e.g. If you do not receive the required documentation within a reasonable time, contact the concerned person; i.e. the Trading Member, company etc., immediately.
- Mention clearly whether you want to transact in physical mode or in demat mode.
- Lodge your Arbitration Application against the Trading Member, at the concerned Regional Investor Service Centre, by confirming geographical jurisdiction. Please use for the purpose, your address as intimated to your Trading Member by following due process of law. The details of geographical jurisdiction of each Regional Investor Service Centre are also available on the Contract Note. The period consumed in redressal of complaint thru IGRC services will not be considered while measuring period of 'limitation' in filing arbitration application provided the complaint and / or arbitration application is / are filed at the concerned Regional Investor Service Centre.
- Lodge your complaint against a company listed on BSE, at the concerned Regional Investor Service Centre, by confirming geographical jurisdiction. Please use your address for deciding the geographical jurisdiction. This will enable to process the complaint expeditiously.

Don'ts :

- Don't deal with unregistered brokers / sub - brokers, or other unregistered intermediaries.
- Don't execute any documents with any intermediary without fully understanding its terms and conditions.
- Don't file your arbitration application against trading member, in the Regional Investor Service Centre having no geographical jurisdiction Over the matter. Please use for the purpose, your address as intimated to your Trading Member by following due process of law .The Exchange redresses investors' complaints thru arbitration and IGRC mechanism, which are quasi-judicial in nature. The period consumed in redressal of complaint thru IGRC will not be considered while measuring period of 'limitation' in filing arbitration application provided the complaint is filed at the concerned Regional Investor Service Centre.
- Don't file your grievance /s against companies listed on BSE, in the Regional Investor Service Centre having no geographical jurisdiction over the matter, for its expeditious redressal Please use your address for deciding the geographical jurisdiction.
- Don't deal based on rumours or 'tips'.
- Don't fall prey to promises of guaranteed returns.
- Don't get misled by companies showing approvals / registrations from Government agencies as the approvals could be for certain other purposes and not for the securities you are buying.
- Don't leave the custody of your Demat Transaction slip book in the hands of any intermediary.
- Don't get carried away with advertisements about the financial performance of companies in print and electronic media.
- Don't blindly follow media reports on corporate developments, as some of these could be misleading.
- Don't blindly imitate investment decisions of others who may have profited from their investment decisions.
- Don't forgo obtaining all documents of transactions, in good faith even from people whom you know.
- Don't forget to take note of the risks involved in an investment.
- Don't get misled by guarantees of repayment of your investments through post-dated cheques.
- Don't hesitate to approach concerned persons and then the appropriate authorities.
- Don't get swayed by promises of high returns.