



Do's and Don'ts while dealing with Trading Member

1. Always deal with market intermediaries registered with SEBI/Exchanges.
2. Give clear and unambiguous instructions to your broker/agent/depository participant.
3. Always insist on contract notes for all the transactions from the main broker (name to be specified) within 24 hours of the trade execution. In case of doubt of the transactions, verify the genuineness of the same on the Exchange website.
4. Always settle the dues through the normal banking channels with the market intermediaries.
5. Always make payment directly to the main broker.
6. Always give delivery of shares directly to the main broker.
7. Adopt trading/investment strategies commensurate with your Risk bearing capacity as all investments carry risk, the degree of which varies according to the investment strategy adopted.
8. Always sign a Member-Client Agreement or the tripartite agreement with the trading member & SEBI registered sub-broker of the trading member of BSE as the case may be.
9. Please carry out due-diligence before registering as client with any Intermediary. Also, carefully read and understand the contents stated in the Risk Disclosure Document, which forms the part of client registration for dealing through intermediaries in the Stock Market.
10. Don't deal with unregistered brokers/sub-brokers, intermediaries.
11. Don't leave the custody of your Demat Transaction slip book in the hands of any Intermediary.
12. Don't fall prey to promises of guaranteed returns.
13. Don't blindly imitate investment decisions of others who may have profited from their investment decisions.
14. Kindly take documentary proof of having made deposit of money or property with the member, stating towards which account such money or property deposited.
15. Kindly obtain a clear idea from your member of all brokerage, commissions, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.
16. Execute a broker-client agreement in the form prescribed by SEBI and/or the Relevant Authority of NSE / BSE or its Clearing House / Clearing Corporation from time to time, because this may be useful as a proof of your dealing arrangements with the member.
17. In case of a complaint against a member, you should address the complaint to the office as may be specified by NSE / BSE from time to time.

Do's and Don'ts while dealing with Depository Participant

1. Verify your transaction statement carefully for all debits and credits in your demat account. In case of any unauthorized debit or credit, inform your DP or CDSL.
2. Intimate any change of address or change in bank account details to your DP immediately.
3. While accepting the Delivery Instruction Slip (DIS) book from your DP, ensure that your BO ID is pre-stamped on all the pages along with the serial numbers.
4. Keep your DIS book safely and do not sign or issue blank or incomplete DIS slips.
5. Strike out the empty space, if any, in the DIS, before submitting to DP.
6. For market transactions, submit the DIS ahead of the deadline time. DIS can be issued with a future execution date.
7. The demat account has a nomination facility and it is advisable to appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
8. To open and operate your demat account, copy of PAN card of all account holders is to be submitted to the DP along with original PAN card, for verification.
9. Register for CDSL's SMART (SMS Alerts Related to Transactions) facility. If any unauthorized debit is noticed, the BO should immediately inform CDSL and the Main DP, in writing. An email may be sent to CDSL at complaints@cdslindia.com.
10. Register for CDSL's Internet based facility "easi" to monitor your demat account yourself. Contact your DP or visit CDSL's website: www.cdslindia.com for details.
11. In order to receive all the credits coming to your demat account automatically, you can give a one-time, standing instruction to your DP.
12. Before granting Power of Attorney to anyone, to operate your demat account, carefully examine the scope and implications of powers being granted.