

# Attention to Investors

## **!!Caution for Investors!!**

Investors are cautioned and advised not share their trading account credentials and or subscribe to any such scheme/ product offered by any person/ entity offering indicative/ assured/ guaranteed returns in the stock market as the same is prohibited under law.

Please refer to the below link “caution to Investors”:

<https://www.nseindia.com/resources/exchange-communication-press-releases>

1. 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, the 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.
2. Do not keep funds idle with the Stockbroker. Please note that your stockbroker 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.
3. 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 link:

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)

4. 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.

5. Always keep your contact details viz. Mobile number/Email ID updated with the stockbroker. Email and mobile number is mandatory and you must provide the same to your broker for updations in Exchange records. You must immediately take up the matter with Stockbroker/Exchange if you are not receiving messages from Exchange/Depositories regularly.
6. 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 Stockbroker does not respond, please take this up with the Exchange/Depositories forthwith.

7. 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 Stockbroker.

## **Attention**

### **Contact details:**

To prevent unauthorized transactions in your account, kindly update your mobile numbers/email IDs with your stock broker, M/S Axis Capital Limited. Receive information of your transactions directly from Exchange on your mobile/email at the end of the day.

### **KYC Notification:**

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.

### **KYC details:**

Please update your KYC attributes i.e Income range, Email Id, Mobile number, Address in your Trading & Demat account. Please link your Aadhaar with PAN number for smooth functioning of your account.