

GET FACTUAL - II

Dear Investor,

Over the years, National Stock Exchange (NSE) has introduced on-line trading in securities, settlement guarantee, internet based trading, derivatives etc. for the benefit of investors. Drawing from our experience in helping protect investor interest, we would like to share with you a set of practices that you should follow. These guidelines will go a long way towards reducing your grievances and providing cover under the Investor Protection Fund extended by NSE for transactions executed on the Exchange.

Safety Guidelines for Trading:

- Please ensure that you receive payments / deliveries from your broker, for the transactions entered by you, within one working day of the payout date.
- Ensure that you do not undertake deals on behalf of others or trade on your own name and then issue cheques from family members' / friends' bank accounts.
- Similarly, the Demat delivery instruction slip should be from your own Demat account, not from any other family members' / friends' accounts.
- Do not sign blank delivery instruction slip(s) while meeting security pay-in obligation.
- Don't accept unsigned / duplicate contract note.
- Don't accept contract note signed by any unauthorised person.
- Don't delay payment / deliveries of securities to broker.
- In the event of any discrepancies / disputes, please bring them to the notice of the broker immediately in writing (acknowledged by the broker) and ensure their prompt rectification.
- In case of sub-broker disputes, inform the main broker in writing about the dispute at the earliest and in any case not later than 6 months.
- If your broker / sub-broker does not resolve your complaints within a reasonable period (say within 15 days), please bring it to the attention of the 'Investor Grievances Cell' of the NSE. You can log on to the NSE website (www.nseindia.com) at URL : www.nseindia.com/content/assist/asst_invcentre.htm to get the format of the complaint and the modalities of filing it with NSE.
- While lodging a complaint with the 'Investor Grievances Cell' of the NSE, it is very important that you submit copies of all relevant documents like contract notes, proof of payments / delivery of shares etc. alongwith the complaint. Remember, in the absence of sufficient documents, resolution of complaints becomes difficult.
- Familiarise yourself with the rules, regulations and circulars issued by stock exchanges / SEBI before carrying out any transaction.
- Don't get carried away by luring advertisements, market rumours or get into shady transactions.

"Recognising the importance of investors' inputs with respect to any possible undesirable trading practices in the securities market, the Exchange has provided a toll free telephone facility where investors can get their inputs recorded in either English or Hindi. The Exchange will ensure complete secrecy to the investors."
Toll Free Telephone Number - 1800 22 0051.

These guidelines are for your benefit. Act on it.



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Please visit our website: www.nseindia.com

Issued in public interest by NSE.