

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. ===== "If you are not updated your latest income details in demat & trading a/c than update it as soon as possible. If you are not registered your KYC ( as per SEBI guideline), than send us immediately KYC form along with proof of address & photo ID. For the benefit of the investors SEBI has directed Depositories to send Consolidated Account Statement (CAS) for securities held in demat form with the Depositories. However, if you do not wish to receive the CAS, you may write to your DP separately. As per SEBI Circular on Delivery Instruction slip(DIS), old DIS will not valid (issued before October,2014) from 07 Jan., 2016, Kindly contact to the DP for New DIS. DP will not responsible for any financial losses due to old DIS. :::: Prevent Unauthorized Transactions in your demat account --> Update your Mobile Number with your Depository Participant. Receive alerts on your Registered Mobile for all debit and other important transactions in your demat account directly from CDSL on the same day.....issued in the interest of investors. :::: No need to issue cheques by investors while subscribing to IPO. Just write the bank account number and sign in the application form to authorise your bank to make payment in case of allotment. No worries for refund as the money remains in investor's account." Beware of fixed / guaranteed / regular returns / capital protection schemes. Stock Brokers (Brokers/Members) 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 claim for funds or securities / commodities 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. Do not keep funds idle with the Stock Broker. Please note that your Stock Broker 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/commodities, without any transaction on the Exchange will not be accepted by the relevant Committee of the Exchange as per the approved norms. Check the frequency of accounts settlement opted for. If you have opted for running account, please ensure that your Stock 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 Member as defaulter, the claims of clients against such Defaulter Member would be subject to norms for eligibility of claims for compensation from Member funds / IPF to the clients of the Defaulter Member. These norms are available on Exchange website at following link: <https://www.mcxindia.com/Investor-Services/defaulters/sop-process-faqs-for-handling-of-claims-of-investors-of-defaulter-member> Stock 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. Always keep your contact details, viz. mobile number / email ID updated with the Broker. Email and mobile number is mandatory and you must provide the same to your Broker for updation in Exchange records. You must immediately take up the matter with Broker

/ Exchange if you are not receiving the messages from Exchange / Depositories regularly. 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 Stock Broker and report discrepancy, if any, to your Broker in writing immediately and if the Broker does not respond, please take this up with the Exchange/Depositories forthwith. Check messages sent by Exchanges on a weekly basis regarding funds and securities balances reported by the Stock Broker, compare it with the weekly statement of account sent by Stock Broker and immediately raise a concern to the Exchange if you notice any discrepancy. Please do not transfer funds, for the purposes of trading to anyone, including an authorized person or an associate of the Stock Broker, other than a SEBI registered Stock Broker. Do not deal with unregistered intermediaries (who are not registered with SEBI/Exchanges)."