

Rights & Obligations of Investors

Rights of Investors:

- Get a copy of KYC and other documents executed
- Get Unique Client Code (UCC) allotted
- To place order on complying with the norms agreed to with the Broker
- Get best price for trade execution
- Receive various SMS, emails and information from stock brokers regarding trade confirmations
- Get Contract notes for trades executed from the broker in the specified format given by the Exchange showing transaction price, brokerage, GST and STT etc. as applicable, separately, within 24 hours of your trades.
- Receive funds and securities / commodities on time within 24 hours from pay-out
- Receive statement of accounts from stock broker at least once in a quarter / month from your Stock broker
- Settlement of accounts as per terms of agreement
- Get the details of Principal Officer/Compliance Officer of the stock broker
- Get information of all the businesses done by the stock broker
- To receive all benefits/ material information declared for the investors by the Company
- Prompt services from the Company such as transfers, dematerialization, Sub-divisions and consolidation of holdings in the Company.
- As an equity holder have a right to subscribe to further issue of capital by the Company.
- To approach nearest Regional Investor Service Centre's of Exchanges for lodging a complaint/ file arbitration claim.
- To Complaint and dispute resolution mechanism against stock broker or listed company
- Raise queries on excess brokerage and other charges charged by stock brokers
- File arbitration against stock broker for disputes
- Challenge the arbitration award before court of law

Obligations of the Investors

- Execute Know Your Client (KYC) documents and provide supporting documents
- Understand the voluntary conditions being agreed with the stock broker before signing the Account opening form
- Understand the rights given to the stock broker
- Read Risk Disclosure Document carefully
- Carefully consider all investment risks, fees and/or other factors explained in these documents
- Understand the product and operational framework and deadlines related to various Trading and Clearing & Settlement processes.
- Be fully responsible for investment decisions
- Keep contact details viz Mobile number / Email ID updated with the stock broker and Depository Participant
- Verify details of trades and approach relevant authority for any discrepancies immediately
- Verify bank account and DP account statement for funds and securities / commodities movement
- Review contract notes and statement of account

- Thoroughly read and retain monthly account statements, confirmations and any other information you receive about your investment transactions
- Pay margins
- Pay funds and securities / commodities for settlement on time
- Pay brokerage/statutory levies as agreed to stock broker for their trading
- Obtain receipt for collaterals deposited with the Member towards margins.
- Take up complaint within reasonable time
- Complaint to be supported by appropriate documents
- When additional information is called for, provide the same
- To participate in resolution meetings