

A MESSAGE FOR INVESTORS relating to **DEALING IN SECURITIES**

DOS

- ✓ Transact only through Stock Exchanges.
- ✓ Deal only through SEBI registered intermediaries.
- ✓ Complete all the required formalities of opening an account properly (Client Registration, Client Agreement form etc.).
- ✓ Ask for and sign "Know Your Client Agreement".
- ✓ Read and properly understand the risks associated with investing in securities/derivatives before undertaking transactions.
- ✓ Assess the risk – return profile of the investment as well as the liquidity and safety aspects before making your investment decision.
- ✓ Ask all relevant questions and clear your doubts with your broker before transacting.
- ✓ Invest based on sound reasoning after taking into account all publicly available information and on fundamentals.
- ✓ Give clear and unambiguous instructions to your broker/sub-broker/depository participant.
- ✓ Be vigilant in your transactions.
- ✓ Insist on a contract note for your transaction.
- ✓ Verify all details in contract note, immediately on receipt.
- ✓ Cross-check details of your trade with details as available on the Exchange website.
- ✓ Scrutinize minutely both the transaction and the holding statement that you receive from your Depository participant.
- ✓ Keep copies of all your investment documentation.
- ✓ Handle Delivery Instruction Slips (DIS) Book issued by DP's carefully.
- ✓ Insist that the DIS numbers are pre-printed and your account number (Client Id) be pre-stamped.
- ✓ In case you are not transacting frequently make use of the freezing facilities provided for your Demat Account.
- ✓ Pay the margins required to be paid in the time prescribed.
- ✓ Deliver the shares in case of sale or pay the money in case of purchase within the time prescribed.
- ✓ Participate and vote in general meetings either personally or through proxy.
- ✓ Be aware of your rights and responsibilities.
- ✓ In case of complaints, approach the right authorities for redressal in a timely manner.

DON'TS

- ✗ Don't undertake off-market transactions in securities.
- ✗ Don't deal with unregistered intermediaries.
- ✗ Don't fall prey to promises of unrealistic returns.
- ✗ Don't invest on the basis of hearsay and rumours; verify before investment.
- ✗ Don't forget to take note of risks involved in the investment.
- ✗ Don't be misled by rumours circulating in the market.
- ✗ Don't be influenced into buying into fundamentally unsound companies (penny-stocks) based on sudden spurts in trading volumes or prices or non-authentic favourable looking articles/stories.
- ✗ Don't follow the herd or play on momentum – it could turn against you.
- ✗ Don't be misled by so called hot tips.
- ✗ Don't try to time the market.
- ✗ Don't hesitate to approach the proper authorities for redressal of your doubts/grievances.
- ✗ Don't leave signed blank Delivery Instruction Slips (DIS) of your Demat Account lying around carelessly or with anyone.
- ✗ Don't sign blank Delivery Instruction Slips (DIS) and keep them with Depository Participant (DP) or broker to save time. Remember your carelessness can be your peril.

A MESSAGE FOR INVESTORS
relating to
DEALING WITH BROKERS & SUB-BROKERS

DOS

- ✓ Deal only with SEBI registered intermediaries..
- ✓ Ensure that the intermediary has a valid registration certificate.
- ✓ Ensure that the intermediary is permitted to transact in the market.
- ✓ State clearly who will be placing orders on your behalf.
- ✓ Insist on client registration form to be signed by the intermediary before commencing operations.
- ✓ Enter into an agreement with your broker or sub-broker setting out terms and conditions clearly.
- ✓ Insist on contract note/confirmation memo for trades done each day.
- ✓ Insist on bill for every settlement.
- ✓ Ensure the broker's name, trade time and number, transaction price and brokerage are shown distinctly on the contract note.
- ✓ Insist on periodical statement of accounts.
- ✓ Issue cheques/drafts in trade name of the intermediary only.
- ✓ Ensure receipt of payment/deliveries within 48 hours of pay-out.
- ✓ In case of disputes, **file written complaint to intermediary/Stock Exchange/SEBI within a reasonable time.**
- ✓ In case of sub-broker dispute, inform the main broker about the dispute within 6 months.
- ✓ Familiarise yourself with the rules, regulations and circulars issued by Stock Exchanges/SEBI before carrying out any transaction.

DON'TS

- ✗ **Don't deal with unregistered intermediaries.**
- ✗ Don't pay more than the approved brokerage to the intermediary.
- ✗ Don't undertake deals for others.
- ✗ Don't neglect to set out in writing, orders for higher value given over phone.
- ✗ Don't sign blank Delivery Instruction Slip(s) while meeting security pay-in obligation.
- ✗ Don't accept unsigned/duplicate contract note/confirmation memo.
- ✗ Don't accept contract note/confirmation memo signed by any unauthorized person.
- ✗ Don't delay payment/deliveries of securities to broker/sub-broker.
- ✗ Don't get carried away by luring advertisements, if any.
- ✗ Don't be led by market rumours or get into shady transactions.

Issued in Public Interest by
BHUBANESWAR STOCK EXCHANGE

**A MESSAGE FOR INVESTORS
relating to
ISSUE OF SECURITIES**

DOS

- ✓ Read the Prospectus / Abridged Prospectus and carefully note :
 - ✓ Risk factors pertaining to the issue.
 - ✓ Outstanding litigations and defaults, if any.
 - ✓ Financials of the issuer.
 - ✓ Object of the issue.
 - ✓ Company history.
 - ✓ Background of promoters.
 - ✓ Instructions before making application.
- ✓ In case of any doubt/problem, contact the compliance officer named in the offer document.
- ✓ In case you do not receive physical certificates / credit to demat account or application money refund, lodge a complaint with the Compliance Officer of the issuer Company and post issue lead manager as stated in the offer document.

DON'TS

- ✗ Do not fall prey to market rumours.
- ✗ Do not go by any implicit / explicit promise made by the issuer or any one else.
- ✗ Do not invest based on bull run of the market index / scrips of other companies in the same industry / issuer Company.
- ✗ Do not bank upon the price of the shares of the issuer Company to go up in the short run.

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