

Do's:

- Investors may consult a SEBI-registered Investment Adviser for appropriate investment guidance in the securities market.
- Investors shall make investment decisions in accordance with their financial objectives, risk tolerance, and investment horizon.
- Investors shall ensure receipt of a valid contract note or trade confirmation from the intermediary within 24 hours of execution of trades.
- Investors shall regularly monitor their demat account holdings and portfolio positions.
- Investors shall read and fully understand all disclosure documents, agreements, and related materials prior to execution or acceptance.
- Investors shall ensure they are fully aware of all applicable charges, fees, brokerage, and statutory levies prior to undertaking any transaction.
- Investors shall maintain proper records of all account-opening documents, agreements, contract notes, account statements, and payment records.
- Investors shall periodically review their financial goals and investment portfolio to ensure alignment with their objectives.
- Investors shall ensure that all payments are made through approved banking channels only and shall refrain from cash-based transactions.
- Investors shall ensure timely updation of their personal and financial information, including address, bank details, email ID, and mobile number, with their broker or Depository Participant.
- Investors are encouraged to avail nomination facilities in respect of all investment accounts and securities holdings.
- Investors shall ensure periodic settlement of running accounts in accordance with applicable regulatory timelines and instructions.
- Investors shall regularly monitor their trading account activity and associated statements.
- Investors shall periodically verify the accuracy of their trading account statements and records.
- Investors shall review daily SMS and email alerts received from the stock exchange in respect of trades executed.
- Investors shall review periodic (including monthly) statements and alerts relating to funds and securities balances maintained with the trading member.
- Investors shall deal only with intermediaries registered with SEBI, including stock brokers and Depository Participants.
- Investors shall obtain and retain copies of all Know Your Client (KYC) and account opening documentation.
- Investors shall regularly verify all debit and credit entries reflected in their demat account.
- Investors shall reconcile their Consolidated Account Statement (CAS) with their own records on a periodic basis.
- Investors shall verify the ISIN, quantity, and other details carefully prior to submitting any Delivery Instruction Slip (DIS).

Don'ts:

- Investors shall not borrow funds for the purpose of investing in the securities market.
- Investors shall not deal with any intermediary that is not registered with SEBI, including brokers, sub-brokers, or depository participants.
- Investors shall not pay brokerage, fees, or charges in excess of those mutually agreed with the registered intermediary.
- Investors shall not execute any agreement, document, or instruction without fully understanding its terms and conditions.
- Investors shall not sign any blank forms under any circumstances.
- Investors shall not sign or submit blank Delivery Instruction Slips (DIS).
- Investors shall not issue a general Power of Attorney (PoA) in favor of any intermediary without fully understanding its scope, authority, and limitations.
- Investors shall lodge complaints with the concerned intermediary, stock exchange, or SEBI in a timely manner in case of any dispute or grievance.
- Investors shall not participate in illegal or unauthorized trading activities such as Dabba Trading.
- Investors shall not rely solely on unsolicited stock tips, rumors, or unverified market information for investment decisions.
- Investors shall not share passwords or any confidential account credentials with any third party.
- Investors shall not participate in or invest in unregulated investment schemes such as Ponzi schemes, unregistered collective investment schemes, or unregistered deposit schemes.
- Investors shall ensure that no blank spaces are left in Know Your Client (KYC) documents submitted to intermediaries.
- Investors shall avoid entering into digital contracts or electronic agreements without fully understanding their terms and implications.
- Investors shall not share One-Time Passwords (OTPs) or any authentication codes with any person.
- Investors shall not share login credentials, PINs, or any other secure access information related to their trading or demat accounts.
- Investors shall not ignore alerts, notifications, or communications received from stock exchanges or depositories.
- Investors shall not ignore any discrepancies observed in account statements, transaction records, or demat holdings.
- Investors shall not hand over signed blank Delivery Instruction Slip (DIS) booklets to any person or intermediary.
- Investors shall not submit Delivery Instruction Slips (DIS) without verifying ISIN, quantity, and other relevant transaction details.
- Investors shall not invest in products, schemes, or arrangements that promise assured or guaranteed returns.
- Investors shall not undertake securities transactions in cash outside regulated banking channels.
- Investors shall not share OTPs or any other authentication codes used for transaction authorization.