NSE – Investor DO's and Don'ts

Investor Rights - Right To
- Get Unique Client Code (UCC) allotted
- Get a copy of KYC and other documents executed
- Get trades executed in only his/her UCC
- Place order on meeting the norms agreed to with the Member
- Get best price
- Contract note for trades executed
- Details of charges levied
- Receive funds and securities on time
- Receive statement of accounts from trading member
- Ask for settlement of accounts

Investor Obligations - Under Obligation To
- Execute Know Your Client (KYC) documents and provide supporting documents
- Understand the voluntary conditions being agreed with the member
- Understand the rights given to the Members
- Read Risk Disclosure Document
- Understand the product and operational framework and deadlines
- Pay margins
- Pay funds and securities for settlement on time
- Verify details of trades
- Verify bank account and DP account for funds and securities movement
- Review contract notes and statement of account

Rights to Remedies

- Take up a complaint against member with the Exchange
- Take up a complaint against listed company
- File arbitration against member if there is dispute
- Challenge the arbitration award before court of law

Obligation Towards Remedies

- 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

Basic Instructions

- Don't forget to strike off blanks in your KYC
- Don't submit an incomplete KYC form
- Don't opt for digital contracts, if you're not familiar with computers
- Don't share your trading password
- Keep a regular check of your running account

Power of Attorney (PoA) Instructions

- Be careful with your PoA
- How to retain control of your account
- Cancel your PoA anytime
- Choose a registered Stock Broker for PoA
- PoA should not include the right to open / close your account
- Always specify a period for the PoA

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