

GET FACTUAL-I

Dear Investor,

Over the years, National Stock Exchange (NSE) has introduced on-line trading in securities, settlement guarantee, internet based trading, derivatives etc. for the benefit of investors. Drawing from our experience in helping protect investor interest, we would like to share with you a set of practices that you should follow. These guidelines will go a long way towards reducing your grievances and providing cover under the Investor Protection Fund extended by NSE for transactions executed on the Exchange.

Safety Guidelines for Trading:

- Buy and sell securities only through SEBI registered intermediaries.
- Ensure that the intermediary (broker / sub-broker) has a valid SEBI registration certificate.
- Enter into an agreement with your broker / sub-broker setting out terms and conditions clearly.
- Ensure that you give all your details in the "Know Your Client" form.
- Ensure that you read carefully and understand the contents of the "Risk Disclosure Document" and then acknowledge it.
- Insist on a contract note issued by your broker only, for trades done each day.
- Ensure that you receive the contract note from your broker within 24 hrs. of the transaction.
- Ensure that the contract note contains details such as the broker's name, trade time and number, transaction price, brokerage, service tax, securities transaction tax etc. and is signed by the Authorised Signatory of the broker.
- To cross check genuineness of the transactions, log in to the NSE website (www.nseindia.com) and go to the trade verification facility extended by NSE at www.nseindia.com/content/equities/eq_trdverify.htm. Fill in the relevant information. The facility will confirm all genuine transactions and will be available for a period of 5 days from the date of trade.
- Issue account payee cheques / demand drafts in the name of your broker only, as it appears on the contract note / SEBI registration certificate of the broker.
- While delivering shares to your broker to meet your obligations, ensure that the delivery instructions are made to the designated account of your broker only.
- Insist on periodical statement of accounts of funds and securities from your broker. It is important that you cross check and reconcile your accounts promptly and in case of any discrepancies bring it to the attention of your broker immediately.

"Recognising the importance of investors' inputs with respect to any possible undesirable trading practices in the securities market, the Exchange has provided a toll free telephone facility where investors can get their inputs recorded in either English or Hindi. The Exchange will ensure complete secrecy to the investors."
Toll Free Telephone Number - 1800 22 0051.

These guidelines are for your benefit. Act on it.



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Issued in public interest by NSE.