

1. "KYC is one time exercise while dealing in securities markets - once KYC is done through a SEBI registered intermediary (broker, DP, Mutual Fund etc.), you need not undergo the same process again when you approach another intermediary.
2. "Prevent Unauthorized Transactions in your Demat account --> Update your Mobile Number/Email Id with your Depository Participant. Receive alerts on your Registered Mobile/Email Id for all debit and other important transactions in your demat account directly from NSDL/CDSL on the same day.....issued in the interest of investors.
3. For Stock Broking transaction ' Prevent unauthorized transaction your account update mobilenumbers/email IDs with your stock brokers. Receive information of your transactions directly from Exchange on your mobile/email at the end of the day ..... issued in the interest of the investor
4. "Rights & Obligations of Stock Broker and Client" ; Uniform Risk Disclosure Documents (for all segments / exchanges) and Guidance Note detailing the Do's and Don'ts for trading on exchanges in the vernacular languages are available on NSE website at <https://www.nseindia.com/trade/members-client-registration-documents> can be downloaded.
5. "No need to issue cheques by investors while subscribing to IPO. Just write the bank account number and sign in the application form to authorise your bank to make payment in case of allotment. No worries for refund as the money remains in investor's account.
6. Advisory KYC Compliance – <https://www.nseindia.com/invest/advisory-kyc-compliance>
7. You can file your complaints online at <http://scores.gov.in> or and SCORES mobile application for effective redressal of grievances. Alternatively send your complaints to Office of Investor Assistance and Education of SEBI at SEBI Bhavan, Plot No.C4-A,G Block, BKC, Bandra East, Mumbai 400051.
8. "Update your Aadhar Card with your Stock Broker & Depository Participant. In case PAN is not seeded with Aadhar before the date specified by the government, it will not be consider as a valid PAN."

9.
  1. Stock Brokers can accept securities as margin from clients only by way of pledge in the depository system w.e.f. September 01, 2020.
  2. Update your email id and mobile number with your stock broker / depository participant and receive OTP directly from depository on your email id and/or mobile number to create pledge.
  3. Check your securities / MF / bonds in the consolidated account statement issued by NSDL/CDSL every month. .... Issued in the interest of Investors""
  
10. Complete the nomination process. Registration of Nominee/s ensures that the assets held in your demat account/s are transferred to the respective nominee/s or through nominee to the legal heirs, without any legal hassles or disputes in case of death of all the account holder(s). For Trading & demat account holder/s who do not wish to appoint any nominee, there is an option 'Declaration for Opt out of Nomination' provided.  
  
If you choose "Opt out of nomination" will mean that additional procedure will have to be followed by your legal heirs in the event of your death which may be time consuming, tedious. Instead, it is in your best interest that you register nominee(s) in your Trading & Demat account. This can be done by submitting a nomination form, physically . You can register maximum three nominees in your Trading & Demat account and define nominee-wise percentage as desired by you.
  
11. Beware of fixed/guaranteed/regular returns/ capital protection schemes. Brokers or their authorized persons or any of their associates are not authorized to offer fixed/guaranteed/regular returns/ capital protection on your investment or authorized to enter into any loan agreement with you to pay interest on the funds offered by you. Please note that in case of default of a member claim for funds or securities given to the broker under any arrangement/ agreement of indicative return will not be accepted by the relevant Committee of the Exchange as per the approved norms.
  
12. Do not keep funds idle with the Stock Broker. Please note that your stock broker has to return the credit balance lying with them, within three working days in case you have not done any transaction within last 30 calendar days. Please note that in case of default of a Member, claim for funds and securities, without any transaction on the exchange will not be accepted by the relevant Committee of the Exchange as per the approved norms.
  
13. Check the frequency of accounts settlement opted for. If you have opted for running account, please ensure that your broker settles your account and, in any case, not later than once in 90 days (or 30 days if you have opted for 30 days settlement). In case of declaration of trading member as defaulter, the claims of clients against such defaulter member would be subject to norms for eligibility of claims for compensation from IPF to the clients of the defaulter member. These norms are available on Exchange website at following link:  
<https://www.nseindia.com/invest/about-defaulter-section>.

