

Given below are some General DOs and DON'Ts for Investors / Clients while dealing with Broker

Dos	DON'Ts
1. Always deal with the registered Broker / Authorized Person of SEBI / Stock Exchanges. Verify the credentials of the Broker / Authorized Person on the SEBI/ Exchange Website.	1. Don't deal with unregistered Brokers / Authorized Persons, or other unregistered intermediaries.
2. Give clear and unambiguous instructions/ orders to your Broker / Authorized Person.	2. Do not give wrong/contradictory/incomplete information in the client registration form
3. Always insist on contract notes from the Broker within 24 hours of the execution of the trade.	3. Do not reveal your trading account passwords to any body
4. Verify all details in contract notes, immediately upon receipt. Verify the genuineness of the transaction on BSE/NSE website. Bring any discrepancy to the notice of Broker immediately.	4. Do not allow others to trade in your account. Do not trade in anybody else account
5. Update correct mobile no. and email id with your Broker to receive Transactional Alerts send by BSE/ NSE for your transactions at the end of the market hours. Ensure to update / inform your financial information with proof on a yearly basis to your Broker	5. Do not pay money to anyone to trade on your behalf for any assured / guaranteed or fixed returns.
6. Ensure that you have money before you buy and hold securities before you sell.	6. Do not be influenced by advertisement/advice/rumors/promises/SMS/unauthentic news promising unrealistic gains and windfall profits in mass media
7 Always make payments to broker through normal banking channels viz. via cheque, NEFT and RTGS mode only favouring Sushil Financial Services Private Limited.	7. Do not engage in practices that distort demand / prices artificially.
8. Always keep physical/soft copies of all your important documents send/received to/from Broker (e.g. Executed KYC, Acknowledgements slips, Contract Notes, etc.).	8. Not to make any payment to your Authorized Persons, employees of Broker / Authorized Person. Not to indulge in cash dealing activity with your Authorized Person
9. Keep track of your portfolio in your Demat A/c on a regular basis	9. Do not participate in unauthorized and illegal trades outside the Stock Exchange mechanism (dabba trading)
10. Be cautious about stocks which show a sudden spurt in price or trading activity, especially low price stocks, GSM stocks, illiquid stocks S+ framework, etc.	10. Don't blindly imitate investment decisions of others who may have profited from their investment decisions.
11. In case of any dispute/difference/grievance, contact the Compliance Officer of broker at their designated Grievance email id as available on the website of broker	11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments.