

## **Investor Rights and Obligations**

### **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 Member
- 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