

## Investors' Services Investor Rights and Obligations

Investor Rights – Right To	Investor Obligations – Under Obligation To
<ul style="list-style-type: none"> <li>• Get Unique Client Code (UCC) allotted</li> <li>• Get a copy of KYC and other documents executed</li> <li>• Get trades executed in only his/her UCC</li> <li>• Place order on meeting the norms agreed to with the Member</li> <li>• Get best price</li> <li>• Contract note for trades executed</li> <li>• Details of charges levied</li> <li>• Receive funds and securities on time</li> <li>• Receive statement of accounts from trading member</li> <li>• Ask for settlement of accounts</li> </ul>	<ul style="list-style-type: none"> <li>• Execute Know Your Client (KYC) documents and provide supporting documents</li> <li>• Understand the voluntary conditions being agreed with the member</li> <li>• Understand the rights given to the Members</li> <li>• Read Risk Disclosure Document</li> <li>• Understand the product and operational framework and deadlines</li> <li>• Pay margins</li> <li>• Pay funds and securities for settlement on time</li> <li>• Verify details of trades</li> <li>• Verify bank account and DP account for funds and securities movement</li> <li>• Review contract notes and statement of account</li> </ul>
Rights to Remedies	Obligation Towards Remedies
<ul style="list-style-type: none"> <li>• Take up a complaint against member with the Exchange</li> <li>• Take up a complaint against listed company</li> <li>• File arbitration against member if there is dispute</li> <li>• Challenge the arbitration award before court of law</li> </ul>	<ul style="list-style-type: none"> <li>• Take up complaint within reasonable time</li> <li>• Complaint to be supported by appropriate documents</li> <li>• When additional information is called for provide the same</li> <li>• To participate in resolution meetings</li> </ul>