

STATE BANK OF BIKANER AND JAIPUR
SHARE & BONDS DEPARTMENT
HEAD OFFICE, JAIPUR

REFERENCE GUIDE FOR INVESTORS/SHAREHOLDERS

Dos

- Always deal with the intermediaries registered with SEBI.
- Always keep copies of all investment documentation (e.g. application forms, acknowledgment slips, contract notes).
- Always keep copies of documents you are sending to companies, etc.
- Send important documents by a reliable mode/registered post to ensure delivery.
- Ensure that you receive contract note at the end of the day/account statements for every transaction.
- Ensure that you have money before you buy.
- Ensure that you are holding securities before sell.
- Follow up diligently and promptly e.g. if you do not receive the required documentation within a reasonable time contact the concerned person i.e. the broker, company, etc. immediately.
- Give clear and unambiguous instructions to your broker/agent/depository participant.
- If facing a problem act promptly! Follow these steps to solve your problem .
- 1. Talk to your broker and explain the problem. Find out where does the fault lie?
- 2. If your broker can't help you to resolve your problem, then talk to the stock exchange where transacted.
- 3. If the problem is still not resolved, write to the appropriate authorities. Explain your problem clearly and in brief.

Don'ts

- Don't deal with unregistered brokers/sub-brokers, intermediaries.
- Don't forget taking due documents of transactions, in good faith even from people whom you know.
- Don't fall prey to promises of unrealistic returns.
- Don't get misled by companies showing approvals/registrations from Government agencies as the approvals could be for certain other purposes and not for the securities you are buying.
- Don't transact based on rumors generally called 'tips'.
- Don't forget to take note of risks involved in the investment.
- Don't get misled by guarantees of repayment of your investments through post-dated cheques.
- Don't panic when facing a problem.
- Don't hesitate to approach concerned persons and then the appropriate authorities.

Note:

In order to provide better services, all our shareholders are requested to advise us their E-mail addresses quoting folio number and name.

Disclaimer:

The information has been compiled to present the reader with a broad understanding of the subject and is general in nature. The contents do not purport to explain or interpret Acts, Circulars, Regulations and Guidelines.