



## **ATTENTION INVESTORS**

- 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.

**NOTE:** 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.

- 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 the last 30 calendar days.

**NOTE:** 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.

- Check the frequency of accounts settlement opted for. If you have opted for a 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 a trading member as a defaulter, the claims of clients against such a 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 the Exchange website at the following link: <https://www.nseindia.com/invest/about-defaulter-section>.
- Brokers are not permitted to accept transfer of securities as margin. Securities offered as margin/ collateral MUST remain in the account of the client and can be pledged to the broker only by way of 'margin pledge', created in the Depository system.
- Clients are not permitted to place any securities with the broker or associate of the broker or authorized person of the broker for any reason. Brokers can take securities belonging to clients only for settlement of securities sold by the client.
- Please do not transfer funds, for the purposes of trading to anyone, including an authorized person or an associate of the broker, other than a SEBI registered Stockbroker.

Aspero Markets Private Limited

(Formerly Known as CREDAVENUE SECURITIES PRIVATE LIMITED)

Registered Office: 12th Floor, Prestige Polygon, No-471, Anna Salai, Nandanam, Chennai-600 035.

Phone: +91 44-4071 6900 | Website: [www.aspero.in](http://www.aspero.in) | Email: support@aspero.in

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### **Do's for Investors**

- Always keep your contact details viz. Mobile number/Email ID updated with the stockbroker. Email and mobile number is mandatory and you must provide the same to your broker for updation in Exchange records.
- Ensure the Online Bond Platform (OBP) is operated by a SEBI-registered Stock Broker.
- Check if the product you are buying is regulated by SEBI, RBI, IRDAI, or PFRDA. Different products may be governed by different regulatory stipulations.
- When navigating to fixed deposit products regulated by non-SEBI entities (like RBI), ensure the platform displays a clear disclaimer stating which regulator governs that specific product.
- Always ensure you receive an Electronic Order Receipt immediately upon placing an order, and a Deal Sheet immediately following the execution of the transaction.
- Read all offer-related documents carefully before investing, as debt securities carry risks of payment delays or defaults.
- Check your Securities /MF/ Bonds in the consolidated account statement issued by NSDL/CDSL every month.
- Check messages sent by Exchanges on a weekly basis regarding funds and securities balances reported by the trading member, compare it with the weekly statement of account sent by the broker and immediately raise a concern to the exchange if you notice a discrepancy.
- Understand the Issuer- evaluate the issuer's financial health, industry outlook, and credit rating.
- Spread investments across issuers, sectors, and maturities to reduce concentration risk.
- Choose brokers or digital platforms that provide proper documentation and access to verified issuers.

### **Don'ts for Investors**

- Never share your platform login passwords, PINs, or Two-Factor Authentication codes with anyone, including employees of the bond platform.
- Do not overlook the mandatory "Disclaimer" in advertisements, which highlights that investments in debt/municipal securities are subject to credit and settlement risks.
- Don't ignore any emails/SMSs received from the Exchange for trades done by you. Verify the same with the Contract notes/Statement of accounts received from your broker and report discrepancy, if any, to your broker in writing immediately and if the Stock Broker does not respond, please take this up with the Exchange/Depositories forthwith.
- Do not deal with unregistered intermediaries.
- Don't rely solely on credit ratings, they are opinions and not guarantees.

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- Avoid falling for the allure of high interest rates without careful vetting, as these often carry significant risks of default or difficulty in selling the asset. Furthermore, ensure you only place orders for securities on an OBP through official, regulated channels; never use unofficial links or outside websites that bypass the legal framework and protections set by financial regulators.

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