

# FAQ on Investor Services

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## Account & Broker Issues

**1. How do I close my Trading account?**

Trading account is opened by your Stockbroker. Please contact them for closure and submit the documentation, if any, as required by the stockbroker for closure of trading account. Post submission and completion of formalities as required by stockbroker, if the account is not closed, you may file a complaint on SEBI SCORES portal at <https://scores.sebi.gov.in>.

**2. Trading Account is Closed and still getting SMS/Emails?**

The Exchange sends the Funds and securities SMS prescribed in relevant SEBI Circular as reported by stockbroker. Hence, you are requested to contact your stocker broker for the same.

In case you are still aggrieved you may file a complaint on SEBI SCORES portal at <https://scores.sebi.gov.in>.

**3. What should I do if I see a negative balance in my trading account?**

Your stockbroker provides ledger, contract notes and daily margin statement, you may refer these documents. Thereafter, you may approach your stockbroker for clarification of the same. In case you are still aggrieved you may file a complaint on SEBI SCORES portal at <https://scores.sebi.gov.in>.

**4. How can I update nominee, KYC details to my Trading account?**

The stockbrokers provide document based or online functionality for updation of KYC details including nominee details. You may connect with your respective stockbroker for updation of KYC details including nominee details. In case you are still aggrieved you may file a complaint on SEBI SCORES portal at <https://scores.sebi.gov.in>.

**5. What to do on the scenarios where in shares which are in demat account getting delisted?**

Investor can check the status with Registrar of the company for update.

**6. What is the role of the Registrar and Transfer Agent (RTA) in resolving investor queries?**

The RTA is responsible for resolving investor queries related to shares, dividends, and other corporate actions.

Useful Link: [www.nseindia.com](http://www.nseindia.com) > Enter Scrip > Click on More Option > Company directory

**7. What is the purpose of the Demat Debit and Pledge Instruction (DDPI)?**

The DDPI is a mechanism introduced by SEBI to mitigate the misuse of Power of Attorney (POA) and to facilitate the transfer of securities.

**8. How can investors report errors or discrepancies in their account statements?**

You can contact the stockbroker for clarification on the account statements. In case you are still aggrieved you may file a complaint on SEBI SCORES portal at <https://scores.sebi.gov.in> or SMARTODR.

**9. What is the procedure for updating marital status in investor records?**

You can contact the stockbroker for updation of marital status. In case you are still aggrieved you may file a complaint on SEBI SCORES portal at <https://scores.sebi.gov.in> or SMARTODR.

**10. What is the procedure for reissuance of dividend Demand Draft?**

Investor can contact the registrar (RTA) of the company for detail.

Useful Link: [www.nseindia.com](http://www.nseindia.com) > Enter Scrip > Click on More Option > Company directory

**11. Investor not able to square off his open position from Trading application, what is the reason for the same?**

You can contact the stockbroker for clarification. In case you are still aggrieved you may file a complaint on SEBI SCORES portal at <https://scores.sebi.gov.in> or SMARTODR.

**12. Where can I get the details of Temporary/Permanent Suspended company shares?**

Investor can contact the registrar (RTA) of the company for detail.

**13. Where can investor check their demat account or holdings?**

You can contact the stockbroker for the holding and demat details.

### **Charges & Claims**

**1. Whom to connect for clarification on broker charges. Where to escalate for any disputes?**

You may refer the account opening form for brokerage charges. Thereafter, you may approach your stockbroker for the details for further clarification, In case you are still aggrieved you may file a complaint on the SEBI SCORES portal at <https://scores.sebi.gov.in> / SMARTODR.

**2. List of stockbrokers declared Defaulter / Expelled?**

You may refer the below link to know the list of stockbrokers declared defaulter/ Expelled by the Exchange.

Useful Link: <https://www.nseindia.com/complaints/defaulters-expelled-members>

**3. How do I claim shares from a defaulted stockbroker?**

Claims can be lodged online through the Exchange portal i.e NICE Plus, by uploading the relevant documents at:

Useful Link: <https://investorhelpline.nseindia.com/NICEPLUS/welcomeUser>

Alternatively, the claim form can be obtained from the nearest Investor Service Centre of the Exchange or downloaded from:

Useful Link: <https://www.nseindia.com/complaints/details-to-be-provided-for-lodging-claims>

Once duly filled, the claim form along with supporting documents should be submitted to the Exchange either via:

Email: [defaultisc@nse.co.in](mailto:defaultisc@nse.co.in)

OR

Courier at below address:

National Stock Exchange of India Ltd.

Exchange Plaza, C-1, Block G,

Bandra Kurla Complex, Bandra (E),

Mumbai, Maharashtra – 400051

You may file a complaint on the SEBI SCORES portal at <https://scores.sebi.gov.in>.

**4. What documents are needed for a claim?**

There are no strictly mandatory documents required for submitting a claim; however, certain **basic documents and details** are essential for processing the claim online. The claimant is advised to enclose the following documents and provide the mandatory details listed below:

- **PAN card number**
- **Bank account statement** showing payments made to and received from the trading member

OR

**Ledger account statement** for the previous and current financial year

- **Cancelled cheque** of the bank account mentioned in point 4 of the claim form  
(If the bank has merged with another, please provide a cheque of the anchor bank)

The investor may also submit **any other supporting documents** relevant to the claim. Additionally, the Exchange may request further details or documents during the claim processing.

**5. My claim is pending. How long will it take?**

An email will be sent to the registered email id intimating the outcome of the claim. Alternatively, the claimant can log into the Nice Plus portal <https://investorhelpline.nseindia.com/NICEPLUS/welcomeUser> to know the status of the claim or email to [defaultisc@nse.co.in](mailto:defaultisc@nse.co.in) or call on the toll-free number 1800 266 0050 (IVR Option 5) to know about the claim status.

**6. What are the charges/fees for filing arbitration on SMARTODR ?**

You may please refer the SEBI Master Circular for Online Resolution of Disputes in the Indian Securities Market dated July 31, 2023 as amended from time to time.

## Fraud & Scam Reporting

1. Someone used my PAN to open a trading account. What should I do?

Trading account is opened by stockbroker through KYC process. Please contact stockbroker for account opening form and PAN misuse. If the stockbroker fails to address your query, you may file a complaint on the SEBI SCORES portal at <https://scores.sebi.gov.in>

2. I lost money through a fake investment group/Telegram investment scheme/ I was scammed via a work-from-home offer on social media/ someone promising high returns and claiming to be from NSE. What should I do?

The Exchange hereby advises investors to exercise due caution and refrain themselves from joining any WhatsApp/Telegram group where stock recommendations are given along with market analysis or downloading any App offering Institutional account services for members of WhatsApp/Telegram groups which have the features of trading in UPPER CIRCUIT stocks, Block Deals at discounted prices, preferential allotment in IPOs etc. Therefore, please report such suspected fraud communications at Chakshu facility on [www.sancharsaathi.gov.in](http://www.sancharsaathi.gov.in) and in case you have already lost money, then report the same on cybercrime helpline number 1930 or [www.cybercrime.gov.in](http://www.cybercrime.gov.in).

Further you may note that Exchange issues press release cautioning investors on the same, the link to check the press release is given below:

Useful Link: <https://www.nseindia.com/resources/exchange-communication-press-releases>

Further, the link to verify the APP of registered stockbroker is given below:

Useful Link: <https://www.nseindia.com/trade/members-compliance/list-of-mobile-applications>

3. Information regarding unsolicited messages?

You may report unsolicited Stock Tip/Recommendation on +91 8291833676 or on designated email id at [feedbk\\_invg@nse.co.in](mailto:feedbk_invg@nse.co.in).

4. Information regarding debarred entities?

You may refer the below link with regards to details of debarred entities.

Useful Link: <https://www.nseindia.com/regulations/member-sebi-debarred-entities>

## NSE Alerts and Notifications

1. What are NSE alert emails?

NSE sends messages related to the transactions executed on the Exchange and weekly fund and security balance reported by the stockbroker as prescribed in SEBI circular. In case of any clarification, you may please connect with your respective stockbroker.

**2. How do I open the PDF attached to an NSE Alert?**

You can open the attachment with PAN number associated with UCC.

**3. I received an alert but never opened an account or account is already closed. What now?**

You may decide to do the following:

- **If never opened an account:**

You can contact the stockbroker for investigation and ensure your email id get removed from database. In case you are still aggrieved you may file a complaint on SEBI SCORES portal at <https://scores.sebi.gov.in / SMARTODR>.

- **If account is already closed:**

You can contact the stockbroker and inform them to remove the client code from their active client list. The Exchange provides data on an “as is and what is” basis as uploaded by the Stockbroker. If you still continue to receive the statements and the stockbroker fails to address your query you file a complaint on the SEBI SCORES portal at <https://scores.sebi.gov.in>.

**4. Where can investors access their funds and securities balances?**

Investors can access their funds and securities balances by contacting their broker.

### **IPO related Queries**

**1. Information regarding Upcoming IPO / OFS etc?**

You may refer the below link with regards to details of Upcoming IPO / OFS.

Useful link: <https://www.nseindia.com/market-data/all-upcoming-issues-ipo>

**2. E-Mandate not received**

Investor must check the UPI status and if the mandate has not been received, investor can contact the member through which he/she is placing the bid.

If the stockbroker fails to address your query, you may file a complaint on the SEBI SCORES portal at <https://scores.sebi.gov.in>.

**3. IPO Allotment not received but amount is still blocked.**

Investor can check the status with Registrar of the Issue for allotment related details.

Useful Link: <https://www.nseindia.com/invest/check-trades-bids-verify-ipo-bids>

**4. Cancellation of IPO Bid**

You are requested to cancel the IPO bid from website/ platform. Alternatively, you may connect with your respective stockbroker/ bank for cancellation of IPO bid.

## General Help & Guidance

**1. Know your stockbroker**

Kindly Search option through Broker Name or Registration number.

Useful

link:

<https://www.sebi.gov.in/sebiweb/other/OtherAction.do?doRecognisedFpi=yes&intmId=30>

**2. How do I file a complaint?**

Go to login page <https://scores.gov.in> left side of webpage enter USERNAME and PASSWORD provided by SCORE, then click “SIGN IN”. After successful login, in top left side user will get “COMPLAINT REGISTRATION”, “SEND REMINDER” & “VIEW COMPLAINT STATUS” option or on SMARTODR.

**3. What are the contact details of NSE investor services?**

NSE Investor Services Toll free number – 18002660050 (IVR Option 5) and email id – [ignse@nse.co.in](mailto:ignse@nse.co.in). For defaults and claims related information – [defaultisc@nse.co.in](mailto:defaultisc@nse.co.in).

**4. Where is Investor Service Centre located?**

Investor can refer the below link to know the Investor service centre located near them spread across India.

Useful Link: <https://www.nseindia.com/static/contact/investor-services-centre>

**5. Where is the information regarding upcoming Investor Awareness Programs?**

You may refer the below link with regards to details of upcoming investor Awareness Programs.

Useful Link: <https://www.nseindia.com/invest/investors-awareness-programs>

**6. What are the types of complaints handled by SEBI?**

You may refer the Frequently Asked Questions issued by SEBI.

Useful Link: <https://scores.sebi.gov.in/faqs>

**7. How can NRI Investor register on SMART ODR Portal?**

You may drop an email on [help@smartodr.in](mailto:help@smartodr.in) with your concern and respective team of SMARTODR shall provide response/resolution.

**8. How to update mobile number and email id in NICE plus in NSE?**

You may write to us at [ignse@nse.co.in](mailto:ignse@nse.co.in) for your profile updation in NICE plus

**9. Investor is unable to attach the document or unable to login smart ODR portal?**

You can contact Smart ODR Team by sending email on [help@smartodr.in](mailto:help@smartodr.in)

**10. Is there any timeline for lodging complaint on SCORES?**

You may refer the Frequently Asked Questions issued by SEBI.

Useful Link: <https://scores.sebi.gov.in/faqs>

**11. How can Non-Resident Indians (NRIs)/Overseas Citizen of India (OCI) register on SCORES?**

You may refer the Frequently Asked Questions issued by SEBI.

Useful Link: <https://scores.sebi.gov.in/faqs>

**12. What can complainants do if they are not satisfied with the disposal of their complaint on SCORES?**

You may refer the Frequently Asked Questions issued by SEBI.

Useful Link: <https://scores.sebi.gov.in/faqs>