

Investor Charter of Depository Participant

VISION

Towards making Indian Securities Market – Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form. **MISSION**

- o To hold securities of investors in dematerialised form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
- o To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
- o To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.

Details of business transacted by the Depository and Depository Participant (DP)

A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants – Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link: NSDL :- <https://nsdl.co.in/dpsch.php> CDSL :- <https://www.cdslindia.com/DP/dplist.aspx>

4. Description of services provided by the Depository through Depository Participants (DP) to investors

(1) Basic Services

S.No.	Brief about the Activity/Service	Expected Timelines for processing by the DP after receipt of proper documents
1	Dematerialization of securities	7 days
2	Rematerialization of securities	7 days

3	MutualFundConversion/ Destatementization	5days
4	Re-conversion/Restatementisationof Mutualfund units	7days
5	Transmissionofsecurities	7days
6	Registeringpledgerequest	15days
7	Closureofdemataccount	30days
8	SettlementInstruction	DepositoriestoacceptphysicalDISfor pay-inofsecuritiesupto4p.m.andDIS in electronic form upto 6 p.m. on T+1 day

(2) Depositories provides special services like pledge, hypothecation, internet based services etc. in addition to their core services and these include

S.No.	Type of Activity/Service	Brief about the Activity/Service
1	Value Added Services	Depositories also provide value added services such as a. Basic Services Demat Account (BSDA) 1 b. Transposition cum dematerialization 2 c. Linkages with Clearing System 3 d. Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending, demat of NSC / KVP, demat of warehouse receipts etc.
2	Consolidated Account Statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly (if no transactions).
3	Digitalization of services provided by the depositories	Depositories offer below technology solutions and facilities to their demat

		<p>accountholdersthroughDPs:</p> <p>a. E-accountopening4</p> <p>b. Onlineinstructionsforexecution5</p> <p>c. e-DIS/DematGateway6</p> <p>d. e-CASfacility7</p> <p>e. Miscellaneous services8</p>
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5DetailsofGrievanceRedressalMechanism

(1) TheProcessofinvestorgrievance redressal

1.	Investor Complaint/ Grievances	<p>Investorcanlodgecomplaint/grievanceagainsttheDepository/DPinthe followingways:</p> <p>a.Electronicmode–</p> <p>(i) SCORES(awebbased centralizedgrievanceredressalsystem of SEBI) https://www.scores.gov.in/scores/Welcome.html</p> <p>(ii) RespectiveDepository'swebportaldedicatedforthefilingof complaint for NSDL :https://www.epass.nsdl.com/complaints/websitecomplaints.aspx DSL: https://www.cdslindia.com/Footer/grievances.aspx</p> <p>(iii) EmailstodesignatedemailIDsofDepositoryforNSDL :relations@nsdl.co.in CDSL:complaints@cdslindia.com aspx</p> <p>Thecomplaints/grievanceslodgeddirectlywiththeDepositoryshallbe resolved within 30 days.</p> <p>b.Offlinemode[detailsoflinktotheformtobeprovidedbyDPs]</p>
2	Investor Grievance Redressal Committee of Depository	<p>Ifnoamicableresolution is arrived,thenthe Investorhastheoptionto refer the complaint/ grievance to the Grievance Redressal Committee (GRC) of the Depository. Upon receipt of reference, the GRC will endeavor to resolve the complaint/ grievance by hearing the parties, andexamining the necessaryinformation and documents.</p>
3	Arbitration proceedings	<p>The Investormayalsoavailthe arbitrationmechanismsetoutinthe ByelawsandBusinessRules/OperatingInstructionsoftheDepository inrelationtoanygrievance,ordisputerelatingto depositoryservices. The arbitration reference shall be concluded by way of issue of an arbitral award within 4 months from the date of appointment of arbitrator(s).</p>

(2) For the Multi-level complaint resolution mechanism available at the Depositories⁹

6. Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant

S.No.	Type of special circumstances	Timelines for the Activity/Service
1	<p>Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges.</p> <p>Participants surrender the participation by its own wish.</p>	<p>Client will have a right to transfer all its securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.</p>

7. Dos and Don'ts for Investors¹⁰

8. Rights of investors¹¹

9. Responsibilities of Investors¹² **Annexure C**

Investor Complaints Data –

Depository Participants Data for Every Month Ending –

July, 2024.

S.No	Received from	Carried forward from previous month	Received during the month	Total Pending	Resolved*	Pending at the end of the month**	Average Resolution time^ (in days)
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						Pending for less than 3 months	Pending for more than 3 months	
1	Directly from	0	0	0	0	0	0	0
	Investors							
2	SEBI (SCORES)	0	0	0	0	0	0	0
3	Depositories	0	0	0	0	0	0	0
4	Other Sources (if any)	0	0	0	0	0	0	0
5	Grand Total	0	0	0	0	0	0	0

Trend of monthly disposal of complaints

S.No	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	Apr-2021	0	0	0	0
2	May-2021	0	0	0	0
3	Jun-2021	0	0	0	0
4	July-2021	0	0	0	0
5	Aug-2021	0	0	0	0
6	Sep-2021	0	0	0	0

7	Oct-2021	0	0	0	0
8	Nov-2021	0	0	0	0
9	Dec-2021	0	0	0	0
10	Jan-2022	0	0	0	0
11	Feb-2022	0	0	0	0
12	Mar-2022	0	0	0	0
13	Apr-2022	0	0	0	0
14	May-2022	0	0	0	0
15	June-2022	0	0	0	0
16	July-2022	0	0	0	0
17	Aug-2022	0	0	0	0
18	Sep-2022	0	0	0	0
19	Oct-2022	0	0	0	0
20	Nov-2022	0	0	0	0
21	Dec-2022	0	0	0	0
22	Jan-2023	0	0	0	0
23	Feb-2023	0	2	2	0
24	Mar-2023	0	0	0	0
25	April-2023	0	0	0	0
26	May-2023	0	0	0	0
27	June-2023	0	0	0	0

28	July-2023	0	0	0	0
29	Aug-2023	0	0	0	0
30	Sep-2023	0	0	0	0
31	Oct-2023	0	0	0	0
32	Nov-2023	0	0	0	0
33	Dec-2023	0	0	0	0
34	Jan-2024	0	0	0	0
35	Feb-2024	0	0	0	0
36	Mar-2024	0	0	0	0
37	April-2024	0	0	0	0
38	May-2024	0	0	0	0
39	June-2024	0	0	0	0
40	July-2024	0	0	0	0

*Should include complaints of previous months resolved in the current month, if any.

**Should include total complaints pending as on the last day of the month, if any. ^Average

resolutiontime isthesumtotaloftimetakentoresolveeachcomplaintinthecurrentmonth divided bytotalnumber ofcomplaints resolved in the currentmonth. Trendof Annual

disposalofcomplaints

S.No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
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1	2017-18	0	0	0	0
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2	2018-19	0	0	0	0
3	2019-20	0	0	0	0
4	2020-21	0	0	0	0
5	2021-22	0	0	0	0
6	2022-23	0	0	0	0
7	2023-24	0	0	0	0
8	GrandTotal	0	0	0	0