

## INVESTOR CHARTER – CUSTODIAN

### **VISION STATEMENT:**

“To make India an investor friendly country through efficient Regulations”.

### **MISSION STATEMENT:**

“To serve all investors by promoting the highest standards of ethics, professional excellence and investor protection”.

### **TIMELINES PERTAINING TO VARIOUS SERVICES PROVIDED BY CUSTODIAN**

| S.No. | Type of Service  | Expected Timelines*                                       |
|-------|--|---|
| 1     | Account Opening  |   |
|       | (a) Opening Custody Accounts                                   | Within 15 working days                                    |
| 2     | Trade Processing   |   |
|       | (a) Pre-matching, Confirmations, Margin / Funding verification | Within the Market timelines                               |
|       | (b) Settlements  | within 24 hours of receipt of Securities/ Cash            |
| 3     | Safekeeping of Assets / Reports to Client                      | within 24 hours of receipt of Securities                  |
| 4     | Breach of Foreign Ownership Limit                              | within 24 hours   |
| 5     | Asset Servicing  |   |
|       | (a) Corporate action notification                              | Within 48 hours   |
|       | (b) Processing of client's instructions for the event          | within Market timelines                                   |
|       | (c) Settlements  | Within 48 hours   |
|       | (d) Proxy Voting / E-Voting / Postal Ballot                    | within Market timelines                                   |
| 6     | Monthly Portfolio Report to client with list of Assets         | Within 7 working days                                     |
| 7     | Client Queries   | Acknowledgment or Response within 48 hours                |
| 8     | Grievance Redressal  | Acknowledgment within 48 hours and redress within 30 days |

\* above timelines will apply to cases where documents/information is complete in all respects

### **General Guidance for Investors:**

| S.No. | Guidance  |
|-------|---|
| 1     | Provide Complete, Accurate and Latest information for Account Opening.  |
| 2     | Investors are solely responsible for any investment activity undertaken on the market.  |
| 3     | Ensure all investments and investment related activities are in compliance with applicable rules and regulations  |
| 4     | Investors have Right of Fair and Equitable Treatment and Confidentiality of Information as per SEBI (Custodian) Regulations, 1996   |
| 5     | Investors have Right to expect Redressal of Grievances in a timebound manner and ensure to collect contact details of key personnel for Escalation and Resolution of grievances |
| 6     | Adhere to all the rules, regulations, investment limits / conditions prescribed by the Regulators and Government of India.  |

### Grievance Redressal Mechanism

- Approach the Custodian at the designated Investor Grievance e-mail ID – [grievance.ecasl@nuvama.com](mailto:grievance.ecasl@nuvama.com) with complete details of complaints for redressal of investor grievances in a time bound manner.
- The complaint not redressed at Custodian level, may be lodged with SEBI on SCORES (a web based centralized investor grievance redressal mechanism at SEBI) @ <https://www.scores.gov.in/scores/Welcome.html>.