

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 DDP

5-no.	Type of Service	Expected Timelines*		
1	FPI registration			
	(a) Fresh Registration	Within 30 days		
	(b) Renewal of FP [Registration	Within 15 days:		
	(c) Surrender of FPI Registration	Within 10 working days of receipt of NOC from SEBI		
2	Change in DD P cum Custodian	Within 30 days of receipt of approval from incoming DDP		
3	Off-Market (Free of Payment) transfers permitted as per SEBI Operational Guidelines: for FPIs, DDPs and EFIs	Within 15 days		
4	KYC Review/ Update	Jurisdic- tion	FPI Category-I	FPI Category-II
		High. Risk	Registered under Reg. 5(a)(i) - During contin- uance of registration i.e. every 3 years. Others- Annu- ally	Annually
		Non-High Risk	During contin- uance of regis- tration ie.x` every 3 years.	Regulated enti- ties during con- tinuance of reg- istration i.e. every 3 years. Others-Annu- ally

* above timelines will apply to cases where application is complete in all respects

General Guidance for Investors:

S.No.	Guidance
1	Provide Complete, Accurate and Latest information for FPI registration.
2	Adhere to all the rules, regulations, investment limits / conditions prescribed by the Regulators and Government of India.
3	Sell or write off securities holdings prior to expiry of the FPI registration in case the FPI wish to surrender its registration.
4	Inform Forthwith any changes in information or particulars pertaining the FPI registration.
5	Investors have Right of Fair and Equitable Treatment and Confidentiality of Information as per SEBI (FPI) Regulations, 2019 and SEBI Operational Guidelines for FPIs, DDPs and EFIs.
6	Investors have Right to expect Redressal of Grievances in a timebound manner and ensure to collect details to collect contact details of key personnel for Escalation and Resolution of grievances

Grievance Redressal Mechanism

- Approach the DDP at the designated Investor Grievance e-mail ID – grievance.ddp@nuvama.com with complete details of complaints for redressal of investor grievances in a time bound manner.
- The complaint not redressed at DDP 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>.