

Welcome To Maitra Wealth, Your Trusted Partner For All Your Investment Needs. We Are Proud To Offer Our Valued Clients A Comprehensive Range Of Investment Services, Including Our Web-Platform Investor Charter For Depository Participants. Our Team Of Experienced Professionals Is Dedicated To Providing You With Personalized Investment Solutions That Meet Your Unique Financial Goals. With Our State-Of-The-Art Technology And Unparalleled Customer Service, We Strive To Make Investing Easy And Accessible For Everyone.

Maitra Wealth's Platform Is Designed To Offer Our Clients A Seamless And Hassle-Free Investment Experience. As Depository Participants, We Understand The Importance Of Providing Our Clients With Easy Access To Their Investment Accounts, And Our Web Platform Is The Perfect Solution To Meet This Requirement.

Our Investor Charter For Depository Participants Offers A Wide Range Of Features And Benefits, Including:

- **Secure Access:** Our Web Platform Offers Secure Access To Your Investment Account, Ensuring That Your Personal And Financial Information Is Kept Safe And Secure. In Addition, Our Platform Allows You To Easily Track Your Investment Portfolio, View Your Transaction History, And Make Investment Decisions From The Comfort Of Your Own Home Or Office.
- **24/7 Availability:** Maitra Wealth Web-Platform Investor Charter Is Available 24/7, Giving You The Freedom To Manage Your Investments At Any Time, From Anywhere In The World. This Means That You Can Stay Up-To-Date With The Latest Market Trends And Make Informed Investment Decisions Without Having To Worry About Time Constraints.
- **User-Friendly Interface:** Our User-Friendly Interface Is Easy To Navigate, Making It Simple For You To View Your Investment Portfolio And Track The Performance Of Your Investments. With Our User-Friendly Interface And Real-Time Updates, Managing Your Investments Has Never Been Easier Or More Convenient.
- **Investment Tracking:** Our Web Platform Allows You To Track The Performance Of Your Investments In Real-Time, So You Can Make Informed Decisions About Your Portfolio. In Addition, Our Investment Tracking Feature Also Provides Detailed Analysis And Insights Into Market Trends, Helping You To Identify Potential Opportunities For Growth And Maximize Your Returns.
- **Easy Transactions:** Maitra Wealth Web Platform Investor Charter For Depository Participants Allows You To Easily Buy And Sell Investments, Transfer Funds, And Manage Your Investment Account, All With Just A Few Clicks.
- **Customizable Alerts:** Our Web Platform, Designed With The Investor Charter For Depository Participants In Mind, Offers The Ability To Establish Personalized Alerts, Enabling You To Remain Up-To-Date On Critical Market Events And Developments. With Our Customizable Alerts Features, You Can Opt To Receive Notifications Via Email Or Text Message Whenever Your Investments Hit A Predetermined Price Point, Or When Significant Market Changes Occur.
- **Expert Support:** Our Team Of Investment Experts Is Always Available To Provide You With Personalized Support And Advice, Ensuring That You Have The Information And Guidance You Need To Make Informed Investment Decisions. Whether You Are A Beginner Or An Experienced Investor, Our Expert Support Team Is Always Ready To Assist You.

At Maitra Wealth, We Are Committed To Providing Our Clients With The Highest Level Of Service And Support. Our Charter For Depository Participants Is Just One Example Of How We Are Working To Make Investing Easier, More Accessible, And More Profitable For Our Clients.

In Addition To The Features And Benefits Mentioned Above, Our Web-Platform Investor Charter For Depository Participants Also Offers A Range Of Investment Options To Suit Your Individual Needs And Preferences. We Offer A Wide Range Of Investment Products, Including Stocks, Bonds, Mutual Funds, Exchange-Traded Funds (ETFs), And More.

Our Investment Experts Are Always Available To Help You Make Informed Investment Decisions And Provide You With Personalized Advice Tailored To Your Investment Goals And Risk Tolerance. We Understand That Every Investor Is Unique, And We Work Closely With Our Clients To Help Them Achieve Their Investment Objectives.

In All Of Our Interactions With Our Clients, Maitra Wealth Is Dedicated To Openness And Honesty. We Support Establishing Lasting Connections Based On Respect, Honesty, And Trust. You Can Feel Secure Knowing That Your Investments Are Secure When You Choose Us As Your Investment Partner.

So, If You Are Looking For A Reliable And Trusted Partner For Your Investment Needs, Look No Further Than Maitra Wealth. Contact Us Today To Learn More About Our Web Platform Investor Charter For Depository Participants And Our Other Investment Services. We Look Forward To Helping You Achieve Your Investment Goals.

## Disclosure Of Investor Charter For Depositories And Depository Participants

As Per The SEBI Vide Their Letter No. SEBI/HQ/MRSD/DP/OWP/2021/27347/1 Dated December 15, 2021, Has Advised The Depository And Depository Participants (Dps) To Bring The Investor Charter To The Notice Of Clients.

| VISION                                                                                                                                                                                                                                   | MISSION                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 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. | <ul style="list-style-type: none"><li>• To Hold Securities Of Investors In Dematerialized Form And Facilitate Its Transfer, While Ensuring Safekeeping Of Securities And Protecting Interest Of Investors.</li><li>• To Provide Timely And Accurate Information To Investors With Respect To Their Holding And Transfer Of Securities Held By Them.</li><li>• 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.</li></ul> |

## 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 <https://www.Ccidata.co.in/DPList.aspx>

## Description Of Services Provided By The Depository Through Depository Participants (Dps) To Investors

| S.No | Brief About The Activity/ Service                       | Expected Timeline For Processing By The DP After Receipt Of Proper Documents                                                                                                                                                                                                                                                                                 |
|------|---------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1    | Dematerialization Of Securities                         | 7 Days                                                                                                                                                                                                                                                                                                                                                       |
| 2    | Rematerialization Of Securities                         | 7 Days                                                                                                                                                                                                                                                                                                                                                       |
| 3    | Mutual Fund Conversion / Dematerialization              | 5 Days                                                                                                                                                                                                                                                                                                                                                       |
| 4    | Re-Conversion / Rematerialization Of Mutual Funds Units | 7 Days                                                                                                                                                                                                                                                                                                                                                       |
| 5    | Transmission Of Securities                              | 7 Days                                                                                                                                                                                                                                                                                                                                                       |
| 6    | Registering Pledge Request                              | 15 Days                                                                                                                                                                                                                                                                                                                                                      |
| 7    | Closure Of Demat Account                                | 30 Days                                                                                                                                                                                                                                                                                                                                                      |
| 8    | Settlement Instructions                                 | For T+1 Day Settlements, Participants Shall Accept Instructions From The Clients, In Physical Form Up To 4 P.M. (In Case Of Electronic Instructions Up To 4.00 P.M.) On T Day For Pay In Or Securities.<br><br>For T+3 Day Settlements, Participants Shall Accept EPI Instructions From The Clients, Till 11:00 AM On T+2 Day.<br>Note: "T" Refers Trade Day |

## (D) Depositories Provide Special Services Like Pledge, Hypothecation, Internet-Based Services In Addition To Their Core Services And These Include

| S.No | Type Of Activity / Service                            | Brief About The Activity/ Service                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|------|-------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1    | Value Added Service                                   | Depositories Also Provide Value Added Services Such As:<br><br>A. Basic Services Demat Account (SEDI)<br>The Facility Of SEDI With Linked Services For Eligible Individuals Was Introduced With The Depositor Of Account. Wider Financial Inclusion And To Encouraging Of Demat Accounts, No Annual Maintenance Charges (AMC) Shall Be Levied, If The Value Of Securities Holding Is Up To Rs.4,00,000. For Value Of Holdings Between Rs.4,00,001- 10,00,000, AMC Not Exceeding Rs.100 Is Chargeable.<br><br>B. Transmission Cum Dematerialization<br>In Case Of Transmission Cum Dematerialization, Client Can Get Securities Dematerialized In The Same Account. If The Name Is Appearing On The Certificate Match With The Name In Which The Account Has Been Opened But Are In A Different Order, The Same May Be Done By Submitting The Security Certificate Along With The Transmission Form And Demat Request Form.<br><br>C. Linkages With Clearing System<br>For Actual Delivery Of Securities To The Clearing System From The Selling Brokers And Delivery Of Securities From The Clearing System To The Buying Brokers.<br><br>D. Distribution Of Cash And Non-Cash Corporate Benefits (Divide, Rights, Splits Etc.)<br>Bank Landing, Demat Of AMC / KYC, Demat Of Workload Etc. 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    | Digitization Of Services Provided By The Depositories | Depositories Offer Below Technology Solutions And E-Facilities To Their Demat Account Holders Through Dp:<br><br>A. E Account Opening<br>Account Opening Through Digital Mode, Popularly Known As "On-Line Account Opening". Wherein Investor Intending To Open The Demat Account Can Visit DP Website, Fill In The Required Information, Submit The Required Documents, Conduct Video IPV And Demat Account E-Kit Control Without Visiting DP Office.<br><br>B. Online Instructions For Execution<br>Online Instructions For Execution Internet Enabled Services Like Speed-S (SEDI) & e-Settle (CDSL). Empower A Demat Account Holder In Managing His/Her Securities, Register/Approve To An Issuer And Consistent Monitor And Submit Instructions Online Without The Need To Use Paper. These Facilities Allow Beneficial Owner (BO) To Submit Transfer Instructions And Pledge Instructions Including Margin Pledge From Their Demat Account. The Instructions Facilities Are Also Available On Mobile Applications Through Android, Windows And IOS Platforms.<br><br>C. E-SEI / Demat Gateway<br>Investors Can Give Instructions For Transfer Of Securities Through E-SEI Apart From Physical SEI. Here, For On-Market Transfer Of Securities, Investors Need To Provide Settlement Number Along With The SEI ID And Quantity Of Securities Being Authorized For Transfer. Client Shall Be Required To Authorize Each Entry Valid For A Single Settlement Number / Settlement Date, By Way Of OTP And Pin/Password, Both Generated At Depositories E-Kit. For security Risk Customer Measures Are Being Adopted By Depositories In This Regard.<br><br>D. E-CAS Facility<br>Consolidated Account Statements Are Available Online And Could Also Be Accessed Through Mobile App To Facilitate The Investors To View Their Holdings In Real Time.<br><br>E. Multifaceted Services<br>Transaction Alerts Through SMS, E-Locker Facilities, Chatbots For Instantaneously Responding To Investor Queries Etc. Have Also Been Developed. |

## Details Of Grievance Redressal Mechanism

### 1. The Process Of Investor Grievance Redressal

| S.No | Brief About The Activity/ Service                                                        | Response / Steps                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|------|------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1    | Investor Can Lodge Complaint/ Grievance Against The Depository/DP In The Following Ways: | <ul style="list-style-type: none"><li>A. Electronic Mode<br/>1. SCORES 3.0 (A Web Based Centralized Grievance Redressal System Of SEBI).</li><li>2. Two Level Review For Complaint/Grievance Against DP<br/>First Review Done By Designated Help – Second Review Done By SEBI</li><li>3. Respective Depository's Web Portal Dedicated For The Filing Of Complaint</li><li>4. <a href="https://www.Ccidata.co.in/DPList.aspx">https://www.Ccidata.co.in/DPList.aspx</a></li><li>5. Email To Designated Email Id Of Depository (<a href="mailto:Complaint@Ccidata.co.in">Complaint@Ccidata.co.in</a>)</li><li>6. Offline Mode (Details Of Link To The Form To Be Provided By Dps) The Completed Grievances Lodged Directly With The Depository Shall Be Received Within 21 Days.</li></ul>                                                                                                                                                                                                                                                                                                                                                                                           |
| 2    | Online Dispute Resolution (ODR) Platform For Online Conciliation And Arbitration         | If The Investor Is Not Satisfied With The Resolution Provided By DP Or Other Market Participants, Then The Investor Has The Option To File The Complaint/ Grievance On <b>SMART ODR</b> Platform For Its Resolution Through By Online Conciliation Or Arbitration.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 3    | Steps To Be Followed In ODR For Review, Conciliation And Arbitration                     | <ul style="list-style-type: none"><li>1. Investor To Approach Market Participant For Redressal Of Complaint</li><li>2. If Investor Is Not Satisfied With Response Of Market Participant, He/She Can Escalate The Complaint On SEBI SCORES Portal</li><li>3. Alternatively, The Investor May Also File A Complaint On SMART ODR Portal For Its Resolution Through Online Conciliation And Arbitration.</li><li>4. Upon Receipt Of Complaint On SMART ODR Portal, The Relevant WI Will Review The Matter And Endeavour To Resolve The Matter Between The Market Participant And Investor Within 21 Days.</li><li>5. If The Matter Could Not Be Amicably Resolved, Then The Investor May Request The WI To Refer The Matter For Conciliation</li><li>6. During The Conciliation Process, The Conciliator Will Endeavor For Amicable Settlement Of The Dispute Within 21 Days, Which May Be Extended With 10 Days By The Conciliator.</li><li>7. If The Conciliation Is Unsuccessful, Then The Investor May Request To Refer The Matter For Arbitration.</li><li>8. The Arbitration Process To Be Concluded By Arbitration() Within 30 Days, Which Is Extendable By 30 Days.</li></ul> |
| 4    | Arbitration Proceedings                                                                  | The Investor May Also Avail Arbitration Mechanism In Case Of The System And Business Rules/Operating Instructions Of The Depository In Relation To Any Grievance. Or Dispute Relating To Depository Services. The Arbitration Referees Shall Be Chosen By The Way Of Issue Of A Notice/ Award Within 4 Months From The Date Of Appointment Of Arbitrator(s).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 5    | Investor Grievance Redressal Committee Of Depository                                     | If An Amicable Resolution Is Arrived, Then The Investor Has The Option To Refer The Complaint/ Grievance To The Grievance Redressal Committee (GRC) Of The Depository Upon Receipt Of Reference. The GRC Will Endeavour To Resolve The Complaint/ Grievance By Hearing The Parties And Examining The Necessary Information And Documents.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

### 2. For The Multi-Level Complaint Resolution Mechanism Available At The Depositories – Click Here

## Guidance Pertaining To Special Circumstances Related To Market Activities: Termination Of The Depository Participant

| S.No | Type Of Special Circumstances                                                                                                                                                                                                                                                                  | Timeline For The Activity/ Service                                                                                                                                                                      |
|------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1    | Depositories To Terminate The Participation: 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.<br><br>Participant's Surrendering The Participation By It's Own Will. | 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 Closure By The Way Of Letter/Email. |

## DO's And DONT's

| DO'S                                                                                                                                                                                                                                                             |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 01. Always deal with a SEBI registered Depository Participant for opening a demat account.                                                                                                                                                                       |
| 02. Read all the documents carefully documents before signing them.                                                                                                                                                                                              |
| 03. Before granting the power of attorney to operate your demat account to an intermediary like a stock broker, Portfolio management services (PM's) etc, carefully examine the scope and implications of power being granted.                                   |
| 04. Always make payments to registered intermediaries using banking channels.                                                                                                                                                                                    |
| 05. Accept the Delivery Instruction Slip (DIS) back from your DP only (pre-printed) with a serial number along with your Client ID and keep it in safe custody and do not sign or issue blank or partially filled DIS slip.                                      |
| Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders.                                                                            |
| 06. Avoid any blank space on the slip and Cancellations or corrections on the DIS should be initiated or signed by all the account holder(s).                                                                                                                    |
| 07. Inform any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed form and obtain confirmation of update in system.                                       |
| 08. Mention your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository.                                                                                                                          |
| 09. Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/ updation.                                                                                                            |
| 09. Demat is mandatory for any transfer of securities of Listed public limited companies with few exceptions.                                                                                                                                                    |
| 10. If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at <a href="https://scores.gov.in/home/welcome.html">https://scores.gov.in/home/welcome.html</a> |
| 11. Keep a record of documents signed, DIS issued and account statements received.                                                                                                                                                                               |
| 12. As an investor you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.                                          |
| 13. Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.                                                                                                                     |
| 14. Register for Depository's internet-based facility or download mobile app of the depository to monitor your holdings.                                                                                                                                         |
| 15. Ensure that, both your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.                                                  |

| DONT'S                                                                                                                                             |
|----------------------------------------------------------------------------------------------------------------------------------------------------|
| 01. No Payment to be made in the name of employee of intermediary.                                                                                 |
| 02. Do not leave your instruction slip back with anyone else.                                                                                      |
| 03. Do not sign blank DIS as it is equivalent to a bearer cheque.                                                                                  |
| 04. Do not share password of your online trading and demat account with anyone.                                                                    |
| 05. Do not share One Time Password (OTP) received from banks, brokers, etc. These are meant to be used by you only.                                |
| 06. Do not share login credentials or e-facilities provided by the depositories such as e-SEI, demat gateway, SPEED-einvest etc. with anyone else. |
| 07. Do not follow herd mentality for investments. Seek expert and professional advice for your investments.                                        |
| 08. Beware of assured fixed returns.                                                                                                               |

## Rights Of Investors

| INVESTOR RIGHTS                                                                                                                                                                                                  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 01. Receive a copy of KYC, copy of account opening documents.                                                                                                                                                    |
| 02. Minimum balance is required to be maintained in a demat account.                                                                                                                                             |
| 03. No charges are payable for opening of demat accounts.                                                                                                                                                        |
| 04. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. You have the right to revoke any authorization given at any time. |
| 05. You can open more than one demat account in the same name with single DP or multiple DPs.                                                                                                                    |
| 06. Receive statement of accounts periodically. In case of any discrepancies in statements, take up the same with the DP immediately. If the DP does not respond, take up the matter with Depositories.          |
| 07. Pledge and for any other interest or encumbrance can be created on demat holdings.                                                                                                                           |
| 08. Right to give standing instructions with regard to the crediting of securities in demat account.                                                                                                             |
| 09. Investors can maintain the right to exercise all his/her demat account or specific securities / specific quantity of securities in the account, maintained with the DP.                                      |
| 10. In case of any grievances, Investor has right to approach Participant or Depository or SEBI for getting the same resolved within prescribed timelines.                                                       |
| 11. Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which the Depositories have developed an internet based 'e-voting' platform.           |
| 12. Receive information about charges and fees. Any charge/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the investor.                               |
| 13. Right to identification for any loss caused due to the negligence of the Depository or the participant.                                                                                                      |
| 14. Right to opt out of the Depository system in respect of any security                                                                                                                                         |

## Responsibilities of Investors

| INVESTOR RESPONSIBILITIES                                                                                                                                                                                    |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 01. Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.                                                                                                                 |
| 02. Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the dates.                 |
| 03. Read all documents and conditions being agreed before signing the account opening form.                                                                                                                  |
| 04. Accept the Delivery Instruction Slip (DIS) back from DP only (pre-printed) with a serial number along with client ID and keep it in safe custody and do not sign or issue blank or partially filled DIS. |
| 05. Always mention the details like ISIN, number of securities accurately.                                                                                                                                   |
| 06. Inform any change in information linked to demat account and obtain confirmation/ updation in the system.                                                                                                |
| 07. Regularly verify balances and demat statement and reconcile with trades / transactions.                                                                                                                  |
| 08. Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.                                                                                                               |
| 09. Do not fall prey to fraudulent sending emails and SMSes luring to trade in stocks / securities promising huge profits.                                                                                   |

## Code Of Conduct For Depositories

### (Part D Of Third Schedule Of SEBI (D & P) Regulations, 2018)

| A DEPOSITORY SHALL:                                                                                                                                                                                                                                                                                                                       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 01. always abide by the provisions of the Act, Depositories Act, 1996, any Rules or Regulations framed thereunder, circulars, guidelines and any other directions issued by the Board from time to time.                                                                                                                                  |
| 02. adopt appropriate due diligence measures.                                                                                                                                                                                                                                                                                             |
| 03. take effective measures to ensure implementation of proper risk management framework and good governance practices.                                                                                                                                                                                                                   |
| 04. take appropriate measures towards investor protection and education of investors.                                                                                                                                                                                                                                                     |
| 05. treat all its applicants/investors in a fair and transparent manner.                                                                                                                                                                                                                                                                  |
| 06. promptly inform the Board of violations of the provisions of the Act, the Depositories Act, 1996, rules, regulations, circulars, guidelines and any other directions by any of its issuer or issuer's agent.                                                                                                                          |
| 07. take a proactive and responsible attitude towards safeguarding the interests of investors, integrity of depository's systems and the securities market.                                                                                                                                                                               |
| 08. endeavour for introduction of best business practices amongst itself and its members.                                                                                                                                                                                                                                                 |
| 09. act in utmost good faith and shall avoid conflict of interest in the conduct of its functions.                                                                                                                                                                                                                                        |
| 10. not indulge in unfair competition, which is likely to harm the interests of any other Depository, their participants or investors or is likely to place them in a disadvantageous position while competing for or executing any assignment.                                                                                           |
| 11. segregate roles and responsibilities of key management personnel within the depository including:<br>a. Clearly defining legal and regulatory duties to the concerned position.<br>b. Deftly delegating of powers to each position.<br>c. Assigning regulatory, risk management and compliance aspects to business and support teams. |
| 12. be responsible for the acts or omissions of its employees in respect of the conduct of its business.                                                                                                                                                                                                                                  |
| 13. monitor the compliance of the rules and regulations by the participants and shall further ensure that their conduct is in a manner that will safeguard the interest of investors and the securities market.                                                                                                                           |

## Code of Conduct for Participants

### (Part A Of Third Schedule Of SEBI (D & P) Regulations, 2018)

|                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                        |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 01. A participant shall make all efforts to protect the interests of investors.                                                                                                                                                                                                                                                                       | 02. A participant shall always endeavor to:<br>a. render the best possible advice to the clients having regard to the client's needs and the environments and his own professional skills;<br>b. ensure that all professional dealings are effected in a prompt, efficient and efficient manner;<br>c. inquire from investors are adequately dealt with<br>d. grievances of investors are redressed without any delay. |
| 03. A participant shall maintain high standards of integrity in all its dealings with its clients and other intermediaries, in the conduct of its business.                                                                                                                                                                                           | 04. A participant shall be prompt and diligent in opening of a beneficial owner account, dispatch of the dematerialisation request form, rematerialisation request form and receipt of debit instruction slip and in all the other activities undertaken by him on behalf of the beneficial owners.                                                                                                                    |
| 05. A participant shall endeavour to resolve all the complaints against it or in respect of the activities carried out by it as quickly as possible, and not later than one month of receipt.                                                                                                                                                         | 06. A participant shall not increase a charge/fee for the services rendered without proper advance notice to the beneficial owners.                                                                                                                                                                                                                                                                                    |
| 07. A participant shall not indulge in any unfair competition, which is likely to harm the interests of other participants or investors or is likely to place such other participants in a disadvantageous position while competing for or executing any assignment.                                                                                  | 08. A participant shall not make any exaggerated statement whether oral or written to the clients either about its qualifications or capability to render certain services or about its achievements in regards to services rendered to other clients.                                                                                                                                                                 |
| 09. A participant shall not divulge to other clients, press or any other person any information about its clients which has come to its knowledge except with the approval/authorization of the clients or when it is required to disclose the information under the requirements of any Act, Rules or Regulations.                                   | 10. A participant shall co-operate with the Board as and when required.                                                                                                                                                                                                                                                                                                                                                |
| 11. A participant shall maintain the required level of knowledge and competency and abide by the provisions of the Act, Rules, Regulations and circulars and directions issued by the Board. The participant shall also comply with the award of the Ombudsman passed under the Securities and Exchange Board of India (Ombudsman) Regulations, 2003. | 12. A participant shall not make any untrue statement or suppress any material fact in any documents, reports, papers or information furnished to the Board.                                                                                                                                                                                                                                                           |
| 13. A participant shall not neglect or fail or refuse to submit to the Board or other agencies with its rights registered, such books, documents, correspondence, and papers or any part thereof as may be demanded/ requested from time to time.                                                                                                     | 14. A participant shall ensure that the Board is promptly informed about any action, legal proceedings, etc., initiated against it in respect of material breach or non-compliance by it, of any law, Rules, regulations, directions of the Board or of any other regulatory body.                                                                                                                                     |
| 15. A participant shall maintain a proper inward system for all type of mail received in all forms.                                                                                                                                                                                                                                                   | 16. A participant shall follow the maker-checker concept in all of its activities to ensure the accuracy of the data and as a mechanism to check unauthorized transaction.                                                                                                                                                                                                                                             |
| 17. A participant shall take adequate and necessary steps to ensure that continuity in data and record keeping is maintained and that the data or records are not lost or destroyed. It shall also ensure that for electronic records and data, up-to-date back up is always available with it.                                                       | 18. A participant shall provide adequate freedom and powers to its compliance officer for the effective discharge of his duties.                                                                                                                                                                                                                                                                                       |
| 19. A participant shall ensure that it has satisfactory internal control of procedures in place as well as adequate financial and operational capabilities which can be reasonably expected to take care of any losses arising due to theft, fraud and other dishonest acts, professional misconduct or omission.                                     | 20. A participant shall be responsible for the acts or omissions of its employees and agents in respect of the conduct of its business.                                                                                                                                                                                                                                                                                |
| 21. A participant shall ensure that the senior management, particularly decision makers have access to all relevant information about the business on timely basis.                                                                                                                                                                                   | 22. A participant shall ensure that good corporate policies and corporate governance are in place.                                                                                                                                                                                                                                                                                                                     |

## Complaints Resolution Process At Depositories:

### DP-Investor Complaints Data Monthly

DP - Investor Complaints Data For Month Ending September 2025

| S.No | Received From           | Control Forwarded From Previous Month | Received During The Month | Total Pending | Resolved | Pending At End Of The Month | Average Resolution Time (In Days) |
|------|-------------------------|---------------------------------------|---------------------------|---------------|----------|-----------------------------|-----------------------------------|
| 1    | Directly From Investors | 0                                     | 0                         | 0             | 0        | 0                           | 0                                 |
| 2    | SEBI (SCORE)            | 0                                     | 0                         | 0             | 0        | 0                           | 0                                 |
| 3    | Depository              | 0                                     | 0                         | 0             | 0        | 0                           | 0                                 |
| 4    | Other Sources (If Any)  | 0                                     | 0                         | 0             | 0        | 0                           | 0                                 |
| 5    | Grand Total             | 0                                     | 0                         | 0             | 0        | 0                           | 0                                 |

### DP-Trend Of Monthly Disposals Of Complaints

| S.No | Year             | Control Forwarded From Previous Year | Received During The Year | Resolved During The Year | Pending At End Of The Year |
|------|------------------|--------------------------------------|--------------------------|--------------------------|----------------------------|
| 1    | October - 2020   | 0                                    | 0                        | 0                        | 0                          |
| 2    | November - 2020  | 0                                    | 0                        | 0                        | 0                          |
| 3    | December - 2020  | 0                                    | 0                        | 0                        | 0                          |
| 4    | January - 2021   | 0                                    | 0                        | 0                        | 0                          |
| 5    | February - 2021  | 0                                    | 0                        | 0                        | 0                          |
| 6    | March - 2021     | 0                                    | 0                        | 0                        | 0                          |
| 7    | April - 2021     | 0                                    | 0                        | 0                        | 0                          |
| 8    | May - 2021       | 0                                    | 0                        | 0                        | 0                          |
| 9    | June - 2021      | 0                                    | 0                        | 0                        | 0                          |
| 10   | July - 2021      | 0                                    | 0                        | 0                        | 0                          |
| 11   | August - 2021    | 0                                    | 0                        | 0                        | 0                          |
| 12   | September - 2021 | 0                                    | 0                        | 0                        | 0                          |
| 13   | Grand Total      | 0                                    | 0                        | 0                        | 0                          |

### DP-Trend Of Annual Disposal Of Complaints

| S.No | Year        | Control Forwarded From Previous Year | Received During The Year | Resolved During The Year | Pending At End Of The Year |
|------|-------------|--------------------------------------|--------------------------|--------------------------|----------------------------|
| 1    | 2017-2018   | 0                                    | 0                        | 0                        | 0                          |
| 2    | 2018-2019   | 0                                    | 0                        | 0                        | 0                          |
| 3    | 2019-2020   | 0                                    | 0                        | 0                        | 0                          |
| 4    | 2020-2021   | 0                                    | 0                        | 0                        | 0                          |
| 5    | 2021-2022   | 0                                    | 0                        | 0                        | 0                          |
| 6    | 2022-2023   | 0                                    | 0                        | 0                        | 0                          |
| 7    | 2023-2024   | 0                                    | 0                        | 0                        | 0                          |
| 8    | 2024-2025   | 0                                    | 0                        | 0                        | 0                          |
| 9    | 2025 - 2026 | 0                                    | 0                        | 0                        | 0                          |
| 10   | 2026-2027   | 0                                    | 0                        | 0                        | 0                          |
| 11   | Grand Total | 0                                    | 0                        | 0                        | 0                          |