

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

Complaints against Custodians and DDPs

A. Data for the Month ending -

| S.No | Received from | Pending at the end of the last month | Received during the month | Resolved during the month* | Total Pending at the end of month** | Complaints Pending > 1 month | Average Resolution time^ (in days) |
|------|-------------------------------|--------------------------------------|---------------------------|----------------------------|-------------------------------------|------------------------------|------------------------------------|
| 1 | Directly from Investors | | | | | | |
| 2 | SEBI (SCORES) | | | | | | |
| 3 | Stock Exchanges (if relevant) | | | | | | |
| 4 | Other Sources (if any) | | | | | | |
| 5 | Grand Total | | | | | | |

B. Trend of Monthly disposal of complaints for the Financial Year-

| SN | Month | Carried forward from previous month | Received during the month | Resolved during the month* | Pending at the end of the month** |
|----|--------------------|-------------------------------------|---------------------------|----------------------------|-----------------------------------|
| 1 | April 2021 | | | | |
| 2 | May 2021 | | | | |
| | | | | | |
| 12 | March 2022 | | | | |
| | Grand Total | | | | |

* Inclusive of complaints of previous months resolved in the current month.

** Inclusive of complaints pending as on the last day of the month.

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

C. Trend of Annual (FY) disposal of complaints (For 3 years on rolling basis)-

| SNo | Year | Carried forward from previous year | Received during the year | Resolved during the year | Pending at the end of the year |
|-----|--------------------|------------------------------------|--------------------------|--------------------------|--------------------------------|
| 1 | 2019-20 | | | | |
| 2 | 2020-21 | | | | |
| 3 | 2021-22 | | | | |
| | Grand Total | | | | |