STOCKHOLDING INVESTOR CHARTER – CUSTODY SERVICES

VISION STATEMENT:

"To be a world-class 'technology driven' and 'client focussed' market leader in financial and technical services".

MISSION STATEMENT:

"To emerge as a partner of choice in bringing delight to customer experience in financial and IT solution services".

TIMELINES PERTAINING TO VARIOUS SERVICES PROVIDED BY CUSTODY

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 StockHolding at custody.grievance@stockholding.com with complete details of complaints for redressal of investor grievances in a time bound manner.

- The complaint not redressed at StockHolding, 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

STOCKHOLDING INVESTOR CHARTER –
DESIGNATED DEPOSITORY PARTICIPANTS SERVICES

VISION STATEMENT:
"To be a world-class „technology driven" and „client focussed" market leader in financial and technical services".

MISSION STATEMENT:
"To emerge as a partner of choice in bringing delight to customer experience in financial and IT solution services".

TIMELINES PERTAINING TO VARIOUS SERVICES PROVIDED BY DDP

<table>
<tr><th>S.no.</th><th>Type of Service</th><th>Expected Timelines *</th></tr>
<tr><td rowspan="4">1</td><td>FPI registration</td><td></td></tr>
<tr><td>(a) Fresh Registration</td><td>Within 30 days</td></tr>
<tr><td>(b) Renewal of FPI Registration</td><td>Within 15 days</td></tr>
<tr><td>(c) Surrender of FPI Registration</td><td>Within 10 working days of receipt of NOC from SEBI</td></tr>
<tr><td>2</td><td>Change in DDP cum Custodian</td><td>Within 30 days of receipt of approval from incoming DDP</td></tr>
<tr><td>3</td><td>Off-Market (Free of Payment) transfers permitted as per SEBI Operational Guidelines for FPIs, DDPs and EFIs</td><td>Within 15 days</td></tr>
<tr><td>4</td><td>KYC Review / Update</td><td>
<table>
<tr><th>Jurisdiction</th><th>FPI Category – I</th><th>FPI Category – II</th></tr>
<tr><td>High Risk</td><td>Registered under Reg. 5(a)(i) – every 8 years.

Others – every 2 years</td><td>Every 2 years</td></tr>
<tr><td>Non-High Risk</td><td>Every 8 years</td><td>Regulated entities – every 8 years.

Others – every 2 years</td></tr>
</table>
</td></tr>
</table>

* 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 contact details of key personnel for Escalation and Resolution of grievances

Grievance Redressal Mechanism

- Approach the DDP at shcilddp.grievance@stockholding.com with complete details of complaints for redressal of investor grievances in a time bound manner.

- The complaint not redressed at StockHolding, 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

Investor Grievance Redressal mechanism - Escalation Matrix

Escalation Matrix:

Details Of	Contact Person	Address	Contact No.	Email Id	Working Hours
Customer Care / Client Servicing (Institutional Clients)	Mr. Gautam Parija	SHCIL House, Plot No: P-51,TTC Industrial Area, MIDC, Mahape, Navi Mumbai-400710	022-27785305	gautam.parija@stockholding.com	Mon – Fri ; 9.45 am to 1.00 pm and 2 pm to 5.45 pm
Head of Customer Care / Client Servicing	Ms. Vineeta Kapil	SHCIL House, Plot No: P-51,TTC Industrial Area, MIDC, Mahape, Navi Mumbai-400710	022-61778210	vineeta@stockholding.com	Mon – Fri ; 9.45 am to 1.00 pm and 2 pm to 5.45 pm
Compliance Officer	**NSDL** – Mr. Gautam Parija **CDSL** – Mr. Sachin Potdar	SHCIL House, Plot No: P-51,TTC Industrial Area, MIDC, Mahape, Navi Mumbai-400710	022-27785305 022-61778211	gautam.parija@stockholding.com sachinpotdar@stockholding.com	Mon – Fri ; 9.45 am to 1.00 pm and 2 pm to 5.45 pm
CEO	MD's Office	301, Centre Point, 3rd Floor,Dr. B. Ambedkar Road, Parel, Mumbai-400012	022-61779010	MDCEO@stockholding.com	Mon – Fri ; 9.45 am to 1.00 pm and 2 pm to 5.45 pm

In absence of response/ complaint not addressed to your satisfaction by StockHoldng, you may lodge a complaint :

1. with CDSL at https://www.cdslindia.com/Footer/grievances.aspx
2. with NSDL at https://www.epass.nsdl.com/complaints/websitecomplaints.aspx
3. or SEBI at https://scores.gov.in/scores/Welcome.html. Please quote your Complaint Ref No. while raising your complaint at Depository/ SEBI SCORES portal.
4. Smart ODR https://smartodr.in/