

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:

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TIMELINES PERTAINING TO VARIOUS SERVICES PROVIDED BY DDP

S.no.	Type of Service	Expected Timelines *		
1	FPI registration			
	(a) Fresh Registration	Within 30 days		
	(b) Renewal of FPI Registration	Within 15 days		
	(c) Surrender of FPI Registration	Within 10 working days of receipt of NOC from SEBI		
2	Change in DDP 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	Jurisdiction	FPI Category – I	FPI Category – II
		High Risk	Registered under Reg. 5(a)(i) – During continuance of registration i.e. every 3 years.	Annually
			Others - Annually	
		Non-High Risk	During continuance of registration i.e. every 3 years.	Regulated entities during continuance of registration i.e. every 3 years.
				Others-Annually.

* 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. Kailash Ghag	SHCIL House, Plot No: P-51, TTC Industrial Area, MIDC, Mahape, Navi Mumbai-400710	022-61778248	kailash.ghag@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. Anita Dembla	SHCIL House, Plot No: P-51, TTC Industrial Area, MIDC, Mahape, Navi Mumbai-400710	022-27785204	anita_arora@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-4000120	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 StockHolding, 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/>