



Investor Charter in respect of Research Analyst (RA)

A. Vision and Mission Statements for investors.

- Vision

Invest with knowledge & safety.

- Mission

Every investor should be able to invest in right investment products based on their needs, manage and monitor them to meet their goals, access reports and enjoy financial wellness.

B. Details of business transacted by the Research Analyst with respect to the investors.

- To publish research report based on the research activities of the RA.
- To provide an independent unbiased view on securities.
- To offer unbiased recommendation, disclosing the financial interests in recommended securities.
- To provide research recommendation, based on analysis of publicly available information and known observations.
- To conduct audit annually.

C. Details of services provided to investors (No Indicative Timelines)

- Onboarding of Clients.
- Disclosure to Clients
 - o To distribute research reports and recommendations to the clients without discrimination.
- To maintain confidentiality w.r.t publication of the research report until made available in the public domain.



D. Details of grievance redressal mechanism and how to access it

In case of any grievance / complaint, an investor should approach the concerned research analyst and shall ensure that the grievance is resolved within 30 days.

If the investor's complaint is not redressed satisfactorily, one may lodge a complaint with SEBI on SEBI's SCORES portal which is a centralized web based complaints redressal system. SEBI takes up the complaints registered via SCORES with the concerned intermediary for timely redressal. SCORES facilitates tracking the status of the complaint.

With regard to physical complaints, investors may send their complaints to: Office of Investor Assistance and Education, Securities and Exchange Board of India, SEBI Bhavan. Plot No. C4-A, 'G' Block, Bandra-Kurla Complex, Bandra (E), Mumbai - 400 051.

E. Expectations from the investors (Responsibilities of investors).

• Do's

- i. Always deal with SEBI registered Research Analyst.
- ii. Ensure that the Research Analyst has a valid registration certificate.
- iii. Check for SEBI registration number.
- iv. Please refer to the list of all SEBI registered Research Analysts which is available on SEBI website in the following link:
<https://www.sebi.gov.in/sebiweb/other/OtherAction.do?doRecognisedFpis&intmId=14>
- v. Always pay attention towards disclosures made in the research reports before investing.
- vi. Pay your Research Analyst through banking channels only and maintain duly signed receipts mentioning the details of your payments.
- vii. Before buying securities or applying in public offer, check for the research recommendation provided by your research Analyst.
- viii. Ask all relevant questions and clear your doubts with your Research

5paise Capital Limited

Corporate Identity Number: L67190MH2007PLC289249

Corporate Office/Regd. Office: 5paise Capital Limited, Sun Infotech Park, Road No. 16V, Plot No. B-23, Wagle Estate, Thane 400604. Tel: +91 22 41035000 • E-mail: csteam@5paise.com • Website: www.5paise.com



Analyst before acting on the recommendation.

ix. Inform SEBI about Research Analyst offering assured or guaranteed returns.

• **Don'ts**

- i. Do not provide funds for investment to the Research Analyst.
- ii. Don't fall prey to luring advertisements or market rumours.
- iii. Do not get attracted to limited period discount or other incentive, gifts, etc. offered by Research Analyst.
- iv. Do not share login credentials and password of your trading and demat accounts with the Research Analyst.

5paisa Capital Limited

Corporate Identity Number: L67190MH2007PLC289249

Corporate Office/Regd. Office: 5paisa Capital Limited, Sun Infotech Park, Road No. 16V, Plot No. B-23, Wagle Estate, Thane 400604. Tel: +91 22 41035000 • E-mail: csteam@5paisa.com • Website: www.5paisa.com

Data for the month ending							
Sr No.	Received form	Pending at the end of last month	Received	Resolved	Total Pending	Pending Complaints >3 months	Average Resolution time (In days)*
1	Directly from investors	19	483	485	17	0	8.3 hrs
2	SEBI (SCORES)	-	-	-	-	-	-
3	Other Sources (If any)	-	-	-	-	-	-
	Grand Total	19	483	485	17	0	8.3hrs

Trend of Monthly Disposal Of Complaints					
Sr No.	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	Apr-22	7	85	80	5
2	May-22	5	75	75	5
3	Jun-22	5	127	122	10
4	Jul-22	10	101	106	5
5	Aug-22	5	95	96	4
6	Sep-22	4	65	65	4
7	Oct-22	4	65	63	6
8	Nov-22	6	44	46	4
9	Dec-22	4	62	64	2
10	Jan-22	-	-	-	-
11	Feb-22	-	-	-	-
12	Mar-22	-	-	-	-
	Grand Total	50	719	717	45

Trend of annual disposal complaints					
Sr No.	Year	Carried forward from previous year	Received	Resolved*	Pending#
1	2018-19	0	193	190	3
2	2019-20	3	315	313	5
3	2020-21	5	937	932	10
	Grand Total	8	1445	1435	18