

# Asit C. Mehta

## INVESTMENT INTERMEDIATES LTD.

Corporate Member: BSE Ltd, National Stock Exchange of India Ltd. & Metropolitan Stock Exchange of India Ltd.

Regd. Office : "Nucleus House", 5th Floor, Saki-Vihar Road, Andheri (E), Mumbai - 400 072. Maharashtra, INDIA.  
Tel.: (022) 2858 4545 • Fax (022) 2857 7647 • E-mail: customerservice@acm.co.in • CIN: U65990MH1993PLC075388

### Investor Charter

<b>Vision</b>	<p>Towards making Indian Securities Market - Transparent, Efficient, &amp; Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.</p>																											
<b>Mission</b>	<ul style="list-style-type: none"> <li>• To hold securities of investors in dematerialised 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 regard 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>																											
<b>Details of business transacted by the Depository and Depository Participant (DP)</b>	<p>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 <a href="https://www.cdslindia.com/DP/dplist.aspx">https://www.cdslindia.com/DP/dplist.aspx</a></p>																											
<b>Description of services provided by the Depository through Depository Participants (DP) to investors</b>	<p>(1) Basic Services</p> <table border="1" data-bbox="488 1279 1270 1771"> <thead> <tr> <th>Sr. No.</th> <th>Brief about the Activity / Service</th> <th>Expected Timelines for processing by the DP after receipt of proper documents</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Dematerialization of securities</td> <td>7 days</td> </tr> <tr> <td>2</td> <td>Rematerialization of securities</td> <td>7 days</td> </tr> <tr> <td>3</td> <td>Mutual Fund Conversion / Destatementization</td> <td>5 days</td> </tr> <tr> <td>4</td> <td>Re-conversion / Restatementisation of Mutual fund units</td> <td>7 days</td> </tr> <tr> <td>5</td> <td>Transmission of securities</td> <td>7 days</td> </tr> <tr> <td>6</td> <td>Registering pledge request</td> <td>15 days</td> </tr> <tr> <td>7</td> <td>Closure of demat account</td> <td>30 days</td> </tr> <tr> <td>8</td> <td>Settlement Instruction</td> <td>Depositories to accept physical DIS for pay-in of securities upto 4 p.m and DIS in electronic form upto 6 p.m on T+1 day</td> </tr> </tbody> </table> <p>(2) Depositories provide special services like pledge, hypothecation, internet-based services etc. in addition to their core services and these include</p>	Sr. No.	Brief about the Activity / Service	Expected Timelines 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 / Destatementization	5 days	4	Re-conversion / Restatementisation of Mutual fund units	7 days	5	Transmission of securities	7 days	6	Registering pledge request	15 days	7	Closure of demat account	30 days	8	Settlement Instruction	Depositories to accept physical DIS for pay-in of securities upto 4 p.m and DIS in electronic form upto 6 p.m on T+1 day
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Sr. no.	Type of Activity /Service	Brief about the Activity / Service
1.	Value Added Services	<p><b>Depositories also provide value added services such as</b></p> <p><b>a. Basic Services Demat Account (BSDA):</b> The facility of BSDA with limited services for eligible individuals was introduced with the objective of achieving wider financial inclusion and to encourage holding of demat accounts. No Annual Maintenance Charges (AMC) shall be levied, if the value of securities holding is upto Rs. 50,000. For value of holdings between Rs 50,001- 2,00,000, AMC not exceeding Rs 100 is chargeable. In case of debt securities, there are no AMC charges for holding value upto Rs 1,00,000 and a maximum of Rs 100 as AMC is chargeable for value of holdings between Rs 1,00,001 and Rs 2,00,000.</p> <p><b>b. Transposition cum dematerialization:</b> In case of transposition-cum-dematerialisation, client can get securities dematerialised in the same account if the names appearing on the certificates match with the names in which the account has been opened but are in a different order. The same may be done by submitting the security certificates along with the Transposition Form</p>



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		and Demat Request Form.
		<p><b>c. Linkages with Clearing System</b> for actual delivery of securities to the clearing system from the selling brokers and delivery of securities from the clearing system to the buying broker.</p> <p><b>d. Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending, demat of NSC / KVP, demat of warehouse receipts etc.</b></p>
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.	Digitalization of services provided by the depositories	<p><b>Depositories offer below technology solutions and e-facilities to their demat account holders through DPs:</b></p> <p><b>a. E-account opening:</b> 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 gets opened without visiting DPs office.</p> <p><b>b. Online instructions for execution:</b> internet-enabled services like Speed-e (NSDL) &amp;</p>



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		<p>Easiest (CDSL) empower a demat account holder in managing his/her securities 'anytime-anywhere' in an efficient and convenient manner and submit instructions online without the need to use paper. These facilities allows Beneficial Owner (BO) to submit transfer instructions and pledge instructions including margin pledge from their demat account. The instruction facilities are also available on mobile applications through android, windows and IOS platforms</p> <p><b>c. e-DIS / Demat Gateway:</b> Investors can give instructions for transfer of securities through e-DIS apart from physical DIS. Here, for on-market transfer of securities, investors need to provide settlement number along with the ISIN and quantity of securities being authorized for transfer. Client shall be required to authorize each e-DIS valid for a single settlement number / settlement date, by way of OTP and PIN/password, both generated at Depositories end. Necessary risk containment measures are being adopted by Depositories in this regard.</p> <p><b>d. e-CAS facility:</b> Consolidated Account Statements are available online and could also</p>
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		<p>be accessed through mobile app to facilitate the investors to view their holdings in demat form.</p> <p><b>e. Miscellaneous services:</b> Transaction alerts through SMS, e-locker facilities, chatbots for instantaneously responding to investor queries etc. have also been developed.</p>
<p><b>Details of Grievance Redressal Mechanism</b></p>	<p>(1) The Process of investor grievance redressal</p>	
	<p>1. Investor Complaint/ Grievances</p>	<p>Investor can lodge complaint/ grievance against the Depository/DP in the following ways:</p> <p><b>a. Electronic mode:</b></p> <p>i) SCORES (a web based centralized grievance redressal system of SEBI) [https://www.scores.gov.in/scores/Welcome.html]</p> <p>(ii) Respective Depository's web portal dedicated for the filing of compliant [https://www.cdslindia.com/Footer/grievances.aspx]</p> <p>(iii) Emails to designated email IDs of Depository [complaints@cdslindia.com/investorgrievance@acm.co.in]</p> <p><b>b. Offline mode:</b></p> <p>For tracking of your grievance, we request you to submit the same online through the portal.</p> <p>The complaints/ grievances lodged directly with the Depository shall be resolved within 30 days.</p>
	<p>2. Investor Grievance Redressal Committee</p>	<p>If no amicable resolution is arrived, then the Investor has the option to refer the complaint/ grievance to the Grievance Redressal Committee (GRC) of the</p>



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	of Depository	<p>Depository.</p> <p>Upon receipt of reference, the GRC will endeavor to resolve the complaint/grievance by hearing the parties, and examining the necessary information and documents</p>						
	3. Arbitration proceedings	<p>The Investor may also avail the arbitration mechanism set out in the Byelaws and Business Rules/Operating Instructions of the Depository in relation to any grievance, or dispute relating to depository services. The arbitration reference shall be concluded by way of issue of an arbitral award within 4 months from the date of appointment of arbitrator(s).</p> <p>(2) For the Multi-level complaint resolution mechanism available at the Depositories please refer to link <a href="https://www.cdslindia.com/downloads/Investors/Complaint%20Resolution%20process%20at%20Depositories.pdf">https://www.cdslindia.com/downloads/Investors/Complaint%20Resolution%20process%20at%20Depositories.pdf</a></p>						
<p><b>Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant</b></p>	<table border="1"> <thead> <tr> <th>Sl No.</th> <th>Type of special circumstances</th> <th>Timelines for the Activity/ Service</th> </tr> </thead> <tbody> <tr> <td>1.</td> <td> <ul style="list-style-type: none"> <li>Depositories to terminate the participation in 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.</li> <li>Participant surrenders the participation by its own wish.</li> </ul> </td> <td>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 intimation by way of letter/email.</td> </tr> </tbody> </table>	Sl No.	Type of special circumstances	Timelines for the Activity/ Service	1.	<ul style="list-style-type: none"> <li>Depositories to terminate the participation in 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.</li> <li>Participant surrenders the participation by its own wish.</li> </ul>	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 intimation by way of letter/email.	
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<b>Dos and Don'ts for Investors</b>	<a href="https://www.investmentz.com/images/pdf/Dos-and-Don-ts-for-Investors.pdf">https://www.investmentz.com/images/pdf/Dos-and-Don-ts-for-Investors.pdf</a>							
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