

## 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

Sr. 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:**

<b>Sr. No.</b>	<b>Guidance</b>
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 Custodian at the designated Investor Grievance e-mail ID ([Custody.Grievances@axisbank.com](mailto:Custody.Grievances@axisbank.com)) with complete details of complaints for redressal of investor grievances in a time bound manner.
- The complaint not redressed at Custodian level, may be lodged with SEBI on SCORES (a web based centralized investor grievance redressal mechanism at SEBI) @ <https://scores.sebi.gov.in/>

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