

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:

| Sr. 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 Custodian at the designated Investor Grievance e-mail ID (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://www.scores.gov.in/scores/Welcome.html>
