



INVESTOR CHARTER

OUR VISION

To protect the interests by enabling them to understand the risks involved and invest in fair, transparent, secure market, and to get services in a timely and efficient manner.

OUR MISSION

- *To have streamlined procedures to ensure ease of transacting/investing in securities market for investors.*
- *To ensure that SEBI registered intermediaries/regulated entities adhere to their investor charters, including grievance redressal mechanism.*
- *To enable investors to understand risks involved before investing.*
- *To ensure fair and equitable treatment to investors.*
- *To ensure confidentiality of information shared by investors unless such information is required to be provided in furtherance of discharging legal obligations or investors have provided specific consent to share such information.*
- *To analyse the causes of investor grievances on a periodic basis and make appropriate policy amendments if required.*
- *To provide for alternative dispute resolution mechanism in agreements between investors and Market Infrastructure Institutions/ Intermediaries.*
- *To encourage innovative and digital solutions in securities market.*

INVESTORS have RIGHT to:

- *Get fair and equitable treatment.*
- *Expect redressal of investor grievances filed in SCORES in a time bound manner.*
- *Get quality services from SEBI recognized Market Infrastructure Institutions and SEBI registered intermediaries/regulated entities/ Asset Management Companies including right to exit at fair and reasonable terms from the securities market related product or service and avail Online Dispute Resolution mechanism for the disputes, if any, arising therefrom.*

INVESTORS have RESPONSIBILITY to:

- *Deal with SEBI recognised Market Infrastructure Institutions and SEBI registered intermediaries / regulated entities only.*
- *Update their contact details like address, mobile number, email address, nomination, etc. and other key KYC details in case of any change.*
- *Ensure that grievances are taken up with the concerned entities within time limits prescribed.*
- *Ensure that their accounts are operated only for their own benefit.*

DO's for Investors:

- *Read and understand the documents carefully before investing.*
- *Know about the Investor Grievance Redressal Mechanism.*
- *Know the risks involved before investing.*
- *Keep track of account statements and promptly bring any discrepancy noticed to the concerned stock exchange, intermediary or Asset Management Company.*
- *Know about various fees, charges, margins, premium, etc. involved in the transactions.*
- *Preserve relevant transaction related documents.*

DONT's for Investors:

- *Don't make payments in cash while making any investment in securities market, beyond the prescribed limit.*
- *Don't share your critical information like account details, login ids, passwords, DIS, etc. with anyone.*

Issued in Public Interest by SEBI



हर निवेशक की ताकत
Har Investor Ki Taaqat