

INVESTOR CHARTER – DP

Vision

Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

Mission

- To hold securities of investors in dematerialised form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
- To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
- 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.

Details of business transacted by the Depository and

Depository Participant (DP)

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 <https://www.cdslindia.com/DP/dplist.aspx>

Description of services provided by the Depository through

Depository Participants (DP) to investors

1. Basic Services

S. 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



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HPMG Shares and Securities Pvt. Ltd.
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CIN NO.: U67190MH2007PTC176790
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5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	2 days
8.	Settlement Instruction	For T+1 day settlements, Participants shall accept instructions from the Clients, in physical form up to 4 p.m. (in case of electronic instructions up to 6.00 p.m.) on T day for pay-in of securities. For T+0 day settlements, Participants shall accept EPI instructions from the clients, till 11:00 AM on T day. Note: 'T' refers 'Trade Day'

2. Depositories provide special services like pledge, hypothecation, internet based services etc. in addition to their core services and these include

S. No.	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
1.	Value Added Services	Depositories also provide value added services such as a. Basic Services Demat Account (BSDA) b. Transposition cum dematerialization c. Linkages with Clearing System d. Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending.
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	Depositories offer below technology solutions and e-facilities to their demat account holders through DPs: a. E-account opening b. Online instructions for execution c. e-DIS / Demat Gateway d. e-CAS facility e. Miscellaneous services

Details of Grievance Redressal Mechanism

1. The Process of investor grievance redressal



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1.	Investor Complaint/ Grievances	<p>Investor can lodge complaint/ grievance against the Depository/DP in the following ways: a.</p> <p>Electronic mode -</p> <p>(i) SCORES (a web based centralized grievance redressal system of SEBI)</p> <p>(ii) Respective Depository's web portal dedicated for the filing of complaint</p> <p>(iii) Emails to designated email IDs of Depository - complaints@cdslindia.com</p>
		<p>b. Offline mode:</p> <p>For tracking of your grievance, we request you to submit the same online through the portal. The complaints/ grievances lodged directly with the Depository shall be resolved within 30 days</p>
2.	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	<p>If the Investor is not satisfied with the resolution provided by DP or other Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through by online conciliation or arbitration.</p> <p>SMART ODR -https://smartodr.in/login</p>
3.	Arbitration proceedings	Click here
4.	Claim to be filed by Beneficial Owner:	<p>The Beneficial owner who suffered a loss due to the actions of Depository Participant ("DP")/ Central Depository Services (India) Limited ("CDSL") needs to file their claim with DP/ CDSL along with relevant documents including but not limited to:</p> <ul style="list-style-type: none"> • Statement of claim • Details of estimated loss (including calculation) and supporting documents • FIR Copy (in case of alleged fraud and infidelity of employee) • Declaration stating that same relief has not been sought before any other fora <p>The hard copy of the claim is to be addressed to the CDSL Legal Team at the registered office of the Company and the soft copy is to be submitted to the Email ID - claims@cdslindia.com.</p>



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2. For the Multi-level complaint resolution mechanism available at the Depositories please refer to link [Complaint Resolution process at Depositories](#)

Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant

S. No.	Type of special circumstances	Timelines for the Activity/ Service
1.	<ul style="list-style-type: none"> 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. Participant surrenders the participation by its own wish. 	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.

Dos and Don'ts for Investors

1. Always deal with a SEBI registered Depository Participant for opening a demat account.	11. Do not share login credentials of e-facilities provided by the depositories such as eDIS/demat gateway, SPEED-e/easiest etc. with anyone else.
2. Read all the documents carefully before signing them	12. Demat is mandatory for any transfer of securities of Listed public limited companies with few exceptions.
3. Before granting Power of attorney to operate your demat account to an intermediary like Stock Broker, Portfolio Management Services (PMS) etc., carefully examine the scope and implications of powers being granted.	13. If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at https://scores.gov.in/scores/Welcome.html



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4. Always make payments to registered intermediary using banking channels. No payment should be made in name of employee of intermediary.	14. Keep a record of documents signed, DIS issued and account statements received.
5. Accept the Delivery Instruction Slip (DIS) book from your DP only (pre-printed with a serial number along with your Client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS slips. Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders. Strike out any blank space on the slip and Cancellations or corrections on the DIS should be initialed or signed by all the account holder(s). Do not leave your instruction slip book with anyone else. Do not sign blank DIS as it is equivalent to a bearer cheque.	15. As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.
6. Inform any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and obtain confirmation of updation in system	16. Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
7. Mention your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository.	17. Register for Depository's internet based facility or download mobile app of the depository to monitor your holdings.
8. Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/updation.	18. Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any



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	transactions.
9. Do not share password of your online trading and demat account with anyone.	19. Do not follow herd mentality for investments. Seek expert and professional advice for your investments
10. Do not share One Time Password (OTP) received from banks, brokers, etc. These are meant to be used by you only.	20. Beware of assured/fixed returns.

*Rights of **Investors***

- Receive a copy of KYC, copy of account opening documents.
- No minimum balance is required to be maintained in a demat account.
- No charges are payable for opening of demat accounts.
- If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. You have the right to revoke any authorization given at any time.
- You can open more than one demat account in the same name with single DP/ multiple DPs.
- Receive statement of accounts periodically. In case of any discrepancies in statements, take up the same with the DP immediately. If the DP does not respond, take up the matter with the Depositories.
- Pledge and /or any other interest or encumbrance can be created on demat holdings.
- Right to give standing instructions with regard to the crediting of securities in demat account.
- Investor can exercise its right to freeze/defreeze his/her demat account or specific securities / specific quantity of securities in the account, maintained with the DP.
- In case of any grievances, Investor has right to approach Participant or Depository or SEBI for getting the same resolved within prescribed timelines.
- Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which Depositories have developed an internet based 'e-Voting' platform.
- Receive information about charges and fees. Any charges/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the Investor.

*Responsibilities of **Investors***

- Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
- Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
- Read all documents and conditions being agreed before signing the account opening form.
- Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.



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- Always mention the details like ISIN, number of securities accurately
- Inform any change in information linked to demat account and obtain confirmation of updation in the system.
- Regularly verify balances and demat statement and reconcile with trades / transactions.
- Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.
- Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.



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