

Investor Charter

Vision:

To be the leading trusted partner in providing innovative and personalized investment solutions, empowering our clients to achieve financial independence and prosperity.

Mission:

Our mission is to deliver expert investment advice, exceptional service, and tailored financial strategies. We are committed to transparency, integrity, and excellence, ensuring our clients' financial goals are met with confidence and peace of mind.

Rights of Investors:

1. **Right to Information:**
 - Receive clear and accurate information about the advisor's qualifications, services, fees, and the scope of advisory services.
 - Access to detailed reports of investments and performance, as well as updates on the financial markets and economy.
2. **Right to Fair Treatment:**
 - Obtain fair and unbiased advice based on the investor's financial situation, investment objectives, risk tolerance, and preferences.
 - Expect confidentiality and privacy regarding their personal and financial information.
3. **Right to Transparency:**
 - Full disclosure of all potential conflicts of interest and how they are managed.
 - Detailed information on the advisory fees, including all possible charges and commissions.
4. **Right to Redressal:**
 - Access to a clear and effective grievance redressal mechanism for resolving disputes or complaints.
 - Receive prompt and effective resolution of complaints.

Obligations of Investors:

1. **Provide Accurate Information:**
 - Supply complete and accurate information about financial status, investment objectives, risk tolerance, and other relevant details.
2. **Understand the Advisory Agreement:**
 - Thoroughly read and understand the terms and conditions of the advisory agreement, including fees, risks, and the scope of services.
3. **Cooperate with the Advisor:**
 - Follow the advisor's recommendations and cooperate in the implementation of the advised strategies.
 - Inform the advisor of any significant changes in personal financial circumstances or investment objectives.

4. Exercise Due Diligence:

- Conduct due diligence before engaging with an investment advisor, including checking the advisor's registration with SEBI and understanding their track record.

Code of Conduct for Investment Advisors:

1. Integrity and Honesty:

- Act with integrity, honesty, and fairness in all professional dealings.
- Avoid any fraudulent, deceptive, or manipulative practices.

2. Confidentiality:

- Maintain the confidentiality of client information, except when required to disclose by law or with the client's consent.

3. Professionalism:

- Provide services diligently, competently, and ethically.
- Keep abreast of developments in the financial markets and continuously update professional knowledge and skills.

4. Fair and Reasonable Fees:

- Charge fees that are fair, transparent, and commensurate with the services provided.

5. Avoid Conflict of Interest:

- Disclose all potential conflicts of interest and take steps to manage them effectively.

6. Compliance with Laws:

- Adhere to all applicable laws, regulations, and guidelines issued by SEBI and other regulatory bodies.

Dos and Don'ts for Investors

Grievance Redressal Mechanism:

- Investors can file complaints directly with the investment advisor, who should provide a clear and prompt resolution.
- If the investor is not satisfied with the resolution provided by the investment advisor, they can escalate the complaint to SEBI through the SCORES platform (<https://scores.gov.in>).

Important Contact Information:

• SEBI Helpline:

- Toll-Free: 1800 22 7575 / 1800 266 7575

• SEBI Office:

- SEBI Bhavan, Plot No. C4-A, 'G' Block, Bandra-Kurla Complex, Bandra (East), Mumbai - 400051

• SCORES:

- Website: <https://scores.gov.in>
- Email: scores@sebi.gov.in