**Investor Charter**

**A. Vision and Mission Statements for Investors**

* Vision

Invest with knowledge & safety.

* Mission

Every investor should be able to invest in right investment products based on their needs, manage and monitor them to meet their goals, access reports and enjoy financial wellness.

**B. Details of Business Transacted by the Investment advisor with Respect to the Investors**

* To publish research report based on the research activities.
* To provide an independent unbiased view on securities.
* To offer unbiased recommendation, disclosing the financial interests in recommended securities.
* To provide research recommendation, based on analysis of publicly available information and known observations.
* To conduct audit annually.

**C. Details of Services provided to Investors (No Indicative Timelines)**

* Onboarding of Clients
* Disclosure to Clients
  + To distribute research reports and recommendations to the clients without discrimination.
* To maintain confidentiality w.r.t. publication of the research report until made available in the public domain.

**D. Details of Grievance Redressal Mechanism and How to Access It**

In case of any grievance / complaint, an investor should approach the concerned Investment advisor and shall ensure that the grievance is resolved within 30 days. If the investor’s complaint is not redressed satisfactorily, one may lodge a complaint with SEBI on SEBI’s SCORES portal which is a centralized web based complaints redressal system. SEBI takes up the complaints registered via SCORES with the concerned intermediary for timely redressal. SCORES facilitates tracking the status of the complaint.

With regard to physical complaints, investors may send their complaints to: Office of Investor Assistance and Education, Securities and Exchange Board of India, SEBI Bhavan, Plot No. C4-A, ‘G’ Block, Bandra-Kurla Complex, Bandra (E), Mumbai - 400 051.

**E. Expectations from the Investors (Responsibilities of Investors)**

**Do’s**

1. Always deal with SEBI registered Investment advisor.
2. Ensure that the Investment advisor has a valid registration certificate.
3. Check for SEBI registration number.
4. Please refer to the list of all SEBI registered Investment advisors which is available on SEBI website.
5. Always pay attention towards disclosures made in the research reports before investing.
6. Pay your investment advisor through banking channels only and maintain duly signed receipts mentioning the details of your payments.
7. Before buying securities or applying in public offer, check for the research recommendation provided by your investment advisor.
8. Ask all relevant questions and clear your doubts with your investment advisor before acting on the recommendation.
9. Inform SEBI about Investment advisor offering assured or guaranteed returns.

**Don’ts**

1. Do not provide funds for investment to the Investment advisor.
2. Don’t fall prey to luring advertisements or market rumors.
3. Do not get attracted to limited period discount or other incentive, gifts, etc. offered by Investment advisor.
4. Do not share login credentials and password of your trading and demat accounts with the Investment advisor.

**Details of the Investor Complaints received by Prudentcap as Investment Advisor Data updated as on the previous month end.**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **SN** | **Received from** | **Pending at the end of last month** | **Received** | **Resolved\*** | **Total Pending#** | **Pending complaints >3months** | | **Average Resolution time^ (in days)** |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | | 8 |
| 1 | **Directly from Investors** | - | - | - | - | - | - | NA |
| 2 | **SEBI (SCORES)** | - | - | - | - | - | - | NA |
| 3 | **Other Sources (if any)** | - | - | - | - | - | - | NA |
| 4 | **Grand Total** | - | - | - | - | - | - | - |

*^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **SN** | **Month** | **Carried forward from previous month** | **Received** | **Resolved\*** | **Pending#** |
| 1 | 2 | 3 | 4 | 5 | 6 |
| 1 | Apr-21 | - | - | - | - |
| 2 | May-21 | - | - | - | - |
| 3 | Jun-21 | - | - | - | - |
| 4 | Jul-21 | - | - | - | - |
| 5 | Aug-21 | - | - | - | - |
| 6 | Sep-21 | - | - | - | - |
| 7 | Oct-21 | - | - | - | - |
| 8 | Nov-21 | - | - | - | - |
| 9 | Dec-21 | - | - | - | - |
| 10 | Jan-22 | - | - | - | - |
| 11 | Feb-22 | - | - | - | - |
| 12 | Mar-22 | - | - | - | - |
|  | Grand Total | - | - | - | - |

\*Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **SN** | **Year** | **Carried forward from previous year** | **Received** | **Resolved \*** | **Pending #** |
| 1 | 2018-19 | - | - | - | - |
| 2 | 2019-20 | - | - | - | - |
| 3 | 2020-21 | - | - | - | - |
|  | Grand Total | - | - | - | - |

\*Inclusive of complaints of previous years resolved in the current year.

#Inclusive of complaints pending as on the last day of the year.