SHRI KRISHNA SHARE BROKERS PVT LTD

Members: NSE Stock Exchange and BSE Stock Exchange

Investor Charter – Stock Brokers

1. VISION

Welcome to our stock brokerage firm, where we strive to provide exceptional financial services and expertise to our valued clients. With a deep understanding of the dynamic and ever-evolving world of finance, we are committed to assisting individuals, businesses, and institutions in achieving their investment goals.

2. MISSION

i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
ii) To establish and maintain a relationship of trust and ethics with the investors.
iii) To observe highest standard of compliances and transparency.
iv) To always keep 'protection of investors' interest' as goal while providing service.

3. SERVICES PROVIDED TO INVESTORS

- Execution of trades on behalf of investors.
- Issuance of Contract Notes.
- Issuance of intimations regarding margin due payments.
- Facilitate execution of early pay-in obligation instructions.
- Settlement of client's funds.
- Intimation of securities held in Client Unpaid Securities Account (CUSA) Account.
- Issuance of retention statement of funds.
- Risk management systems to mitigate operational and market risk.
- Facilitate client profile changes in the system as instructed by the client.
- Information sharing with the client w.r.t. exchange circulars.
- Redressal of Investor's grievances.

4. RIGHTS OF INVESTORS

- Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself.
- Receive complete information about the risks, obligations, and costs of any investment before investing.
- Receive recommendations consistent with your financial needs and investment objectives.
- Receive a copy of all completed account forms and agreements.
- Receive account statements that are accurate and understandable.
- Understand the terms and conditions of transactions you undertake.
- Access your funds in a timely manner and receive information about any restrictions or limitations on access.

- Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties.
- Discuss your grievances with compliance officer of the firm and receive prompt attention to and fair consideration of your concerns.

5. VARIOUS ACTIVITIES OF STOCK BROKERS WITH TIMELINES

S.No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	10 days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading
5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margins from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	30 days / 90 days for running account settlement (RAS) as per the preference of client. If consent not given for RAS – within 24 hours of pay-out
10.	'Statement of Accounts' for Funds, Securities and Commodities	Weekly basis (Within four trading days of following week)
11.	Issuance of retention statement of funds/commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	30 days from the receipt of the complaint

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6. DOS AND DON'TS FOR INVESTORS

DOs	DON'Ts
1. Read all documents and conditions being agreed before signing the account opening form.	1. o not deal with unregistered stock broker.
2. Receive a copy of KYC, copy of account opening documents and Unique Client Code.	2. Do not forget to strike off blanks in your account opening and KYC.
3. Read the product / operational framework / timelines related to various Trading and Clearing & Settlement processes.	3. Do not submit an incomplete account opening and KYC form.
4. Receive all information about brokerage, fees and other charges levied.	4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system.
5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions.	5. Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker.
6. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting Power of Attorney, carefully examine the scope and implications of powers being granted.	6. Do not ignore any emails / SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed.
7. Receive contract notes for trades executed, showing transaction price, brokerage, GSTand STT etc. as applicable, separately, within 24 hours of execution of trades.	7. Do not opt for digital contracts, if not familiar with computers.
8. Receive funds and securities / commodities ontime within 24 hours from pay-out.	8. Do not share trading password.
9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges.	9. Do not fall prey to fixed / Guaranteed returns schemes.
10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (30 or 90 days).	10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.
11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines.	11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments.

7. GRIEVANCE REDRESSAL MECHANISM

The process of investor grievance redressal is as follows:

1	Investor complaint/Grievances	Investor can lodge complaint/grievance against stock broker in the following ways: **Mode of filing the complaint with stock broker** Investor can approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance **Mode of filing the complaint with stock exchanges** i. SCORES 2.0 (a web based centralized grievance redressal system of SEBI) (https://scores.sebi.gov.in) Two level review for complaint/grievance against stock broker: □ First review done by Designated body/Exchange □ Second review done by SEBI ii. Emails to ii. designated email IDs of Exchange
2	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	If the Investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through online conciliation or arbitration.
3	Steps to be followed in ODR for Review, Conciliation and Arbitration	1. Investor to approach Market Participant for redressal of complaint 2. If investor is not satisfied with response of Market Participant, he/she has either of the following 2 options: i. May escalate the complaint on SEBI SCORES portal. ii. May also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration. 3. Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavor to resolve the matter between the Market Participant and investor within 21 days. 4. If the matter could not be amicably resolved, then the matter shall be referred for conciliation. 5. During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute. 6. If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration. 7. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days with consent of the parties to dispute.

8. TIMELINES FOR COMPLAINT RESOLUTION PROCESS AT STOCK EXCHANGES AGAINST STOCK BROKERS

S. No.	Type of Activity	Timelines for activity
1.	Receipt of Complaint	Day of complaint (C Day).
2.	Additional information sought from the investor, if any, and provisionally forwarded to stock broker.	C + 7 Working days.
3.	Registration of the complaint and forwarding to the stock broker.	C+8 Working Days i.e. T day.
4.	Amicable Resolution.	T+15 Working Days.
5.	Refer to Grievance Redressal Committee (GRC), in case of no amicable resolution.	T+16 Working Days.
6.	Complete resolution process post GRC.	T + 30 Working Days.
7.	In case where the GRC Member requires additional information, GRC order shall be completed within.	T + 45 Working Days.
8.	Implementation of GRC Order.	On receipt of GRC Order, if the order is in favour of the investor, debit the funds of the stock broker. Order for debit is issued immediately or as per the directions given in GRC order.
9.	In case the stock broker is aggrieved by the GRC order, will provide intention to avail arbitration	Within 7 days from receipt of order
10.	If intention from stock broker is received and the GRC order amount is upto Rs.20 lakhs	Investor is eligible for interim relief from Investor Protection Fund (IPF).The interim relief will be 50% of the GRC order amount or Rs.2 lakhs whichever is less. The same shall be provided after obtaining an Undertaking from the investor.
11.	Stock Broker shall file for arbitration	Within 6 months from the date of GRC recommendation
12.	In case the stock broker does not file for arbitration within 6 months	The GRC order amount shall be released to the investor after adjusting the amount released as interim relief, if any.

9. Handling of Investor's claims / complaints in case of default of a Trading Member / Clearing Member (TM/CM) Default of TM/CM

Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.

Level 3 – The complaint not redressed at Stock Broker / Stock Exchange level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ https://scores.gov.in/scores/Welcome.html

Annexure B

Investor Complaints Data for the Ending Every Month – Aug, 2025

S.N.	Received from	Carried forward from previous month	Received during the month	Total Pending	Resolved*	Pending at the end of the month**		Average Resolution time^ (in days)
						Pending for less than 3 months	Pending for more than 3 months	
1	Directly from Investors	0	0	0	0	0	0	0
2	SEBI (SCORES)	0	0	0	0	0	0	0
3	Depositories	0	0	0	0	0	0	0
4	Other Sources (if any)	0	0	0	0	0	0	0
	Grand Total	**0**	**0**	**0**	**0**	**0**	**0**	**0**

Trend of monthly disposal of complaints

S. No	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	Apr-2021	0	0	0	0
2	May-2021	0	0	0	0
3	Jun-2021	0	0	0	0
4	Jul-2021	0	0	0	0
5	Aug-2021	0	0	0	0
6	Sep-2021	0	0	0	0
7	Oct-2021	0	0	0	0
8	Nov-2021	0	0	0	0
9	Dec-2021	0	0	0	0
10	Jan-2022	0	0	0	0
11	Feb-2022	0	0	0	0
12	Mar-2022	0	0	0	0
13	April-2022	0	0	0	0
14	May-2022	0	0	0	0
15	Jun-2022	0	0	0	0
16	Jul-2022	0	0	0	0
17	Aug-2022	0	0	0	0
18	Sep-2022	0	0	0	0
19	Oct-2022	0	0	0	0
20	Nov-2022	0	0	0	0
21	Dec-2022	0	0	0	0
22	Jan-2023	0	0	0	0

23	Feb-2023	0	0	0	0
24	Mar-2023	0	0	0	0
25	Apr-2023	0	0	0	0
26	May-2023	0	0	0	0
27	Jun-2023	0	0	0	0
28	July-2023	0	0	0	0
29	Aug-2023	0	0	0	0
30	Sep-2023	0	0	0	0
31	Oct- 2023	0	0	0	0
32	Nov-2023	0	0	0	0
33	Dec-2023	0	0	0	0
34	Jan- 2024	0	0	0	0
35	Feb-2024	0	0	0	0
36	Mar-2024	0	0	0	0
37	Apr-2024	0	0	0	0
38	May-2024	0	0	0	0
39	Jun- 2024	0	0	0	0
40	Jul- 2024	0	0	0	0
41	Aug- 2024	0	0	0	0
42	Sep- 2024	0	0	0	0
43	Oct-2024	0	0	0	0
44	Nov- 2024	0	0	0	0
45	Dec- 2024	0	0	0	0
46	Jan- 2025	0	0	0	0
47	Feb- 2025	0	0	0	0
48	Mar- 2025	0	0	0	0

49	Apr- 2025	0	0	0	0
50	May- 2025	0	0	0	0
51	June- 2025	0	0	0	0
52	July- 2025	0	0	0	0
53	Aug- 2025	0	0	0	0
54	Sep- 2025	0	0	0	0
55	Oct- 2025	0	0	0	0
56	Nov- 2025	0	0	0	0
57	Dec- 2025	0	0	0	0
58	Jan- 2026	0	0	0	0
59	Feb- 2026	0	0	0	0
60	Mar- 2026	0	0	0	0
61	Apr- 2026	0	0	0	0
Grand Total		**0**	**0**	**0**	**0**

*Should include complaints of previous months resolved in the current month, if an y.
**Should include total complaints pending as on the last day of the month, if any.
^Average re solution time is the sum total of time taken to resolve each complaint in the current month divided by total number of complaints resolved in the current month.

Trend Of Annual Disposal of Complaints

S. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2017- 18	0	0	0	0
2	2018- 19	0	0	0	0
3	2019- 20	0	0	0	0
4	2020- 21	0	0	0	0
5	2021- 22	0	0	0	0
6	2022- 23	0	0	0	0
7	2023- 24	0	0	0	0

8	2024- 25	0	0	0	0
9	2025- 26	0	0	0	0
	Grand Total	**0**	**0**	**0**	**0**