

Annexure - A  
**Investor Charter**

**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.

**Details of business transacted by the Research Analyst with respect to the investors.**

- To publish research report based on the research activities of the RA.
- 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.

**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.

**Details of grievance redressal mechanism and how to access it**

- In case of any grievance / complaint, an investor should approach the concerned research analyst 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.**

*Rahul Bhandawat*



**Expectations from the investors (Responsibilities of investors).**

- Do's**
- i. Always deal with SEBI registered Research Analyst.
  - ii. Ensure that the Research Analyst has a valid registration certificate.
  - iii. Check for SEBI registration number.
  - iv. Please refer to the list of all SEBI registered Research Analysts which is available on SEBI website in the following link:  
<https://www.sebi.gov.in/sebiweb/other/OtherAction.do?doRecognisedFpi=yes&intmid=14>
  - v. Always pay attention towards disclosures made in the research reports before investing.
  - vi. Pay your Research Analyst through banking channels only and maintain duly signed receipts mentioning the details of your payments.
  - vii. Before buying securities or applying in public offer, check for the research recommendation provided by your research Analyst.
  - viii. Ask all relevant questions and clear your doubts with your Research Analyst before acting on the recommendation.
  - ix. Inform SEBI about Research Analyst offering assured or guaranteed returns.

- Don'ts**
- i. Do not provide funds for investment to the Research Analyst.
  - ii. Don't fall prey to luring advertisements or market rumours.
  - iii. Do not get attracted to limited period discount or other incentive, gifts, etc. offered by Research Analyst.
  - iv. Do not share login credentials and password of your trading and demat accounts with the Research Analyst.

For



**Rahul Bhandawat**  
Research Analyst  
SEBI Reg. No. INH000008084

For



**Mr. Aaditya Roongta**  
**Ms. Roongta Capital Market Pvt Ltd.**

