



INVESTOR CHARTER

AS PRESCRIBED BY THE SECURITIES AND EXCHANGE BOARD OF INDIA

Dilzer Consultants Pvt Ltd- SEBI Registered Corporate Advisor.

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This Charter is a brief document containing details of service provided to investors, their rights, dos and don'ts, responsibilities, investor grievance handling mechanism and timelines thereof, etc., for ease of reference

A	B	C	D	E
Vision and Mission	Business transacted w.r.t. Investors	Services provided to Investors	Grievance redressal mechanism	Expectations from the investors

A. VISION AND MISSION STATEMENTS FOR INVESTORS

Vision

To achieve our client's financial goals, deliver highly personalized advice, and push the boundaries of industry standards.

Mission

"We will enable our clients to achieve their goals by providing the best in financial guidance, and maintaining the strictest possible standards with close and interactive engagement."

B. DETAILS OF BUSINESS TRANSACTED BY THE INVESTMENT ADVISER WITH RESPECT TO THE INVESTORS

- § To enter into an agreement with the client providing all details including fee details, aspect of Conflict of interest disclosure and maintaining the confidentiality of information.
- § To do a proper and unbiased risk – profiling and suitability assessment of the client.
- § To obtain registration with Know Your Client Registration Agency (KRA) and Central Know Your Customer Registry (CKYC).
- § To conduct an audit annually.
- § To disclose the status of complaints on its website.
- § To disclose the name, proprietor name, type of registration, registration number, validity, complete address with telephone numbers, and associated SEBI regional/local Office details in its website.
- § To employ only qualified and certified employees with NISM XA XB Certification.
- § To deal with clients only from an official number.
- § To maintain records of interactions, with all clients including prospective clients (prior to on-boarding), where any conversation related to advice has taken place.

C. DETAILS OF SERVICES PROVIDED TO INVESTORS (NO INDICATIVE TIMELINES)

Onboarding of Clients

- § Sharing of Letter of Engagement.
- § Completing KYC of clients.
- § Undertaking the Risk Profile of Clients.

Disclosure to Clients

- § To provide full disclosure about its business, affiliations, compensation in the agreement.
- § To not access client's accounts or holdings for offering advice.
- § To disclose the risk profile to the client.

Investment advice

- § To provide investment advice to the client based on the risk-profiling of the clients and Suitability of the client.

D. DETAILS OF GRIEVANCE REDRESSAL MECHANISM AND HOW TO ACCESS IT

1. In case of any grievance/complaint, an investor should approach the concerned Investment Adviser and shall ensure that the grievance is resolved within 30 days.
2. 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 complaint 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.
3. 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

- i. Always deal with SEBI registered Investment Advisers.
- ii. Ensure that the Investment Adviser has a valid registration certificate.
- iii. Check for the SEBI registration number.
Please refer to the list of all SEBI registered Investment Advisers which is available on the SEBI website in the following link:
<https://www.sebi.gov.in/sebiweb/other/OtherAction.do?doRecognisedFpi=yes&intmId=13>)
- iv. Pay only advisory fees to your Investment Adviser. Make payments of advisory fees through banking channels only and maintain duly signed receipts mentioning the details of your payments.
- v. Always ask for your risk profiling before accepting investment advice. Insist that Investment Adviser provides advisory strictly on the basis of your risk profiling and take into account available investment alternatives.
- vi. Ask all relevant questions and clear your doubts with your Investment Adviser before acting on the advice.
- vii. Assess the risk-return profile of the investment as well as the liquidity and safety aspects before making investments.
- viii. Insist on getting the terms and conditions in writing duly signed and stamped. Read these terms and conditions carefully particularly regarding advisory fees, advisory plans, category of recommendations before dealing with an Investment Adviser.
- ix. Be vigilant in your transactions.
- x. Approach the appropriate authorities for redressal of your doubts/grievances.
- xi. Inform SEBI about Investment Advisers offering assured or guaranteed returns.

E. EXPECTATIONS FROM THE INVESTORS (RESPONSIBILITIES OF INVESTORS)

Don'ts

- xii. Don't fall for stock tips offered under the pretext of investment advice.
- xiii. Do not provide funds for investment to the Investment Adviser.
- xiv. Don't fall for the promise of indicative, exorbitant, or assured returns by the Investment Advisers. Do not let greed overcome rational investment decisions.
- xv. Don't fall prey to luring advertisements or market rumors.
- xvi. Avoid doing transactions only based on phone calls or messages from any Investment Adviser or its representatives.
- xvii. Don't take decisions just because of repeated messages and calls by Investment Advisers.
- xviii. Do not fall prey to limited period discounts or other incentives, gifts, etc. offered by Investment advisers.
- xix. Don't rush into making investments that do not match your risk-taking appetite and investment goals.
- xx. Do not share login credentials and passwords of your trading and Demat accounts with the Investment Adviser.

For more information, reach out to us at: dilzerconsultants@gmail.com