

Mission and Vision:

- To generate sustainable returns for our investors through strategic decision-making, innovation, and responsible corporate governance.
- To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.
- To always keep 'protection of investors' interest' as goal while providing service.

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 Pledge Account (CUSPA) 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.

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.

Fair Treatment:

- **All investors, regardless of size or influence, will be treated fairly and with respect.**
- **Decisions affecting investors will be made objectively and without bias.**



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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 On boarding	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 margin 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 as per the preference of client. If consent not given for Running a/c of settlement – within 24hours of pay-out
10	'Statement of Accounts' for Funds, Securities	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

Investor Guidelines

Dos

1. Prior to signing the account opening form, thoroughly review all documents and agreed-upon conditions.
2. Ensure you receive a copy of KYC, account opening documents, and Unique Client Code.
3. Familiarize yourself with the product, operational framework, and timelines related to various Trading, Clearing & Settlement processes.
4. Obtain comprehensive information about brokerage, fees, and other charges levied.
5. Register your mobile number and email ID in your trading, demat, and bank accounts for regular transaction alerts.
6. If executed, obtain a copy of Power of Attorney. However, carefully examine the scope and implications before granting it, as it's not mandatory for SEBI/Stock Exchanges.
7. Promptly receive contract notes for executed trades, detailing transaction price, brokerage, GST, and STT within 24 hours.
8. Ensure timely receipt of funds, securities, or commodities within 24 hours of payment.
9. Verify trade details, contract notes, and statements of account, addressing any discrepancies with the relevant authority. Cross-verify trade details on Exchange websites.
10. Opting for running account settlement? Ensure the stockbroker settles the account within the chosen option (30 or 90 days).

Don'ts

1. Avoid dealing with unregistered stockbrokers.
2. Strike off any blanks in your account opening and KYC forms.
3. Refrain from submitting incomplete account opening and KYC forms.
4. Keep the trading account information updated; confirm any changes made in the system.
5. Transfer funds for trading purposes only to a stockbroker; never make payments in the name of an employee of the stockbroker.
6. Pay attention to emails/SMSs related to trades from the Stock Exchange; report any observed discrepancies.
7. Exercise caution with digital contracts if not familiar with computers.
8. Never share your trading password.
9. Steer clear of fixed/guaranteed returns schemes.
10. Avoid falling victim to fraudsters' emails and SMSs promising huge profits in stocks/securities. Seek expert advice for investments and avoid following herd mentality.



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Responsibilities of Investors:

Engagement:

- Investors are encouraged to actively engage with the company through constructive feedback and participation in shareholder meetings.
- Collaborate with the company on matters that impact long-term value creation.

Grievance Redressal Mechanism

Stage 1 – Approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock

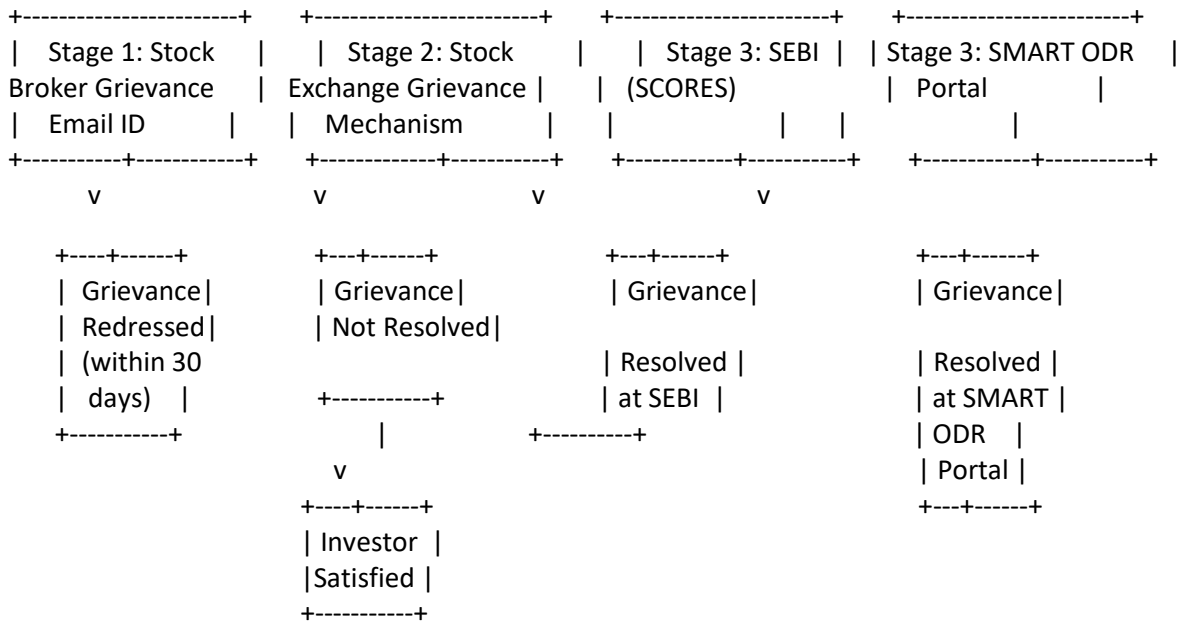
Broker will strive to redress the grievance immediately, but not later than 30 days of the receipt of the grievance.

Stage 2 – Approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange

Stage 3 – Investor can file 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.htm>

Or investor can file also file compliant on SMART ODR portal <https://smartodr.in/login>



In this flowchart:

Stage 1 represents approaching the Stock Broker via their designated Investor Grievance email ID.

If the grievance is not resolved at Stage 1, the investor moves to Stage 2 by approaching the Stock Exchange using the grievance mechanism mentioned on the respective exchange's website.

If the grievance is still not resolved, Stage 3 provides two options: filing a complaint with SEBI on SCORES or using the SMART ODR portal.

The flowchart shows the sequential flow of the complaint resolution process and the potential outcomes at each stage. It provides a visual representation of the steps an investor can take to escalate their grievance if not resolved at the previous stage.

Review and Amendments:

This Investor Charter will be reviewed periodically and may be amended with the mutual consent of the company and its investors in the interest of investor or as per the SEBI guideline direction.

Conclusion:

By adhering to the principles outlined in this Investor Charter, we seek to build a strong and enduring partnership between **Manyog Securities Pvt. Ltd.** And its valued investors. Together, we aim to achieve sustainable growth and create lasting value for all stakeholders.