

#### 1. Vision

Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

### 2. Mission

- To hold securities of investors in dematerialized form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
- To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
- 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.

## **3.** <u>Details of business transacted by the Depository and Depository</u> Participant(DP)

A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants - Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link [https://www.cdslindia.com/DP/dplist.aspx].

## **4.** <u>Description of services provided by the Depository through</u> <u>DepositoryParticipants (DPs) to investors</u>

Sr. no.	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
1.	Dematerialization of securities	7 days
2.	Rematerialization of securities	7 days
3.	Mutual Fund Conversion / Destatementization	5 days

#### (1) Basic Services

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Sr. no.	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
4.	Re-conversion/Restatementisation of Mutualfund units	7 days
5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	30 days
8.	Settlement Instruction	Depositories to accept physical DIS for pay-in of securities up to 4 p.m. and DIS in electronic form up to 6 p.m. on T+1 day

(2) Depositories provide special services like pledge, hypothecation, internet-based services etc. in addition to their core services and these include

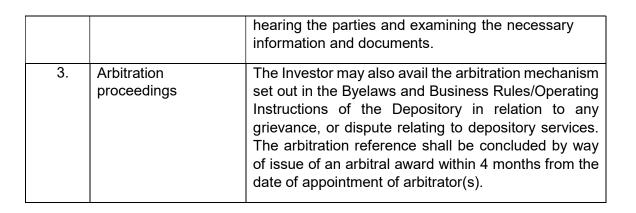
Sr. no.	Type of Activity /Service	Brief about the Activity / Service
1.	Value Added Services	<ul> <li>Depositories also provide value added services such as</li> <li>a. Basic Services Demat Account (BSDA) [<i>link to be provided by DPs</i>]<sup>1</sup></li> <li>b. Transposition cum dematerialization [<i>link to be provided by DPs</i>]<sup>2</sup></li> <li>c. Linkages with Clearing System [<i>link to be provided by DPs</i>]<sup>3</sup></li> <li>d. Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending, demat of NSC / KVP, demat of warehouse receipts etc.</li> </ul>
2.	Consolidated Account statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly (if no transactions).
3.	Digitalization of services provided by the depositories	Depositories offer below technology solutions and e-facilities to their demat account holders through DPs:



Sr. no.	Type of Activity /Service	Brief about the Activity / Service
		<ul> <li><u>E-account opening</u>: Details available on the link [<i>link to be provided by DPs</i>]<sup>4</sup></li> </ul>
		<ul> <li><u>Online instructions for execution</u>: Details available on the link [<i>link to be provided by</i> DPs]<sup>5</sup></li> </ul>
		c. <u>e-DIS / Demat Gateway</u> : Details available on the link [ <i>link to be provided by DPs</i> ] <sup>6</sup>
		<ul> <li>d. <u>e-CAS facility</u>: Details available on the link [<i>link to be provided by DPs</i>]<sup>7</sup></li> </ul>
		e. <u>Miscellaneous services:</u> Details available on the link [ <i>link to be provided by DPs</i> ] <sup>8</sup>

## 4. Details of Grievance Redressal Mechanism

1.	Investor Complaint/ Grievances	Investor can lodge complaint/ grievance against the Depository/DP in the following ways:
		<ul> <li>a. Electronic mode -</li> <li>(i) SCORES (a web based centralized grievance redressal system of SEBI) [https://www.scores.gov.in/scores/Welcome.h tml]</li> </ul>
		<ul> <li>(ii) Respective Depository's web portal dedicated for the filing of compliant [https://www.cdslindia.com/Footer/grievances. aspx]</li> </ul>
		<ul><li>(iii) Emails to designated email IDs of Depository [complaints@cdslindia.com]</li></ul>
		<ul> <li>Offline mode [details of link to the form to be provided by DPs]</li> </ul>
		The complaints/ grievances lodged directly with the Depository shall be resolved within 30 days.
2.	Investor Grievance Redressal Committee of Depository	If no amicable resolution is arrived, then the Investor has the option to refer the complaint/ grievance to the Grievance Redressal Committee (GRC) of the Depository. Upon receipt of reference, the GRC will endeavor to resolve the complaint/ grievance by



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- (2) For the Multi-level complaint resolution mechanism available at the Depositories please refer to link [*link to be provided by DPs*]<sup>9</sup>
- 5. <u>Guidance pertaining to special circumstances related to market activities:</u> <u>Termination of the Depository Participant</u>

SI No.	Type of special circumstances	Timelines for the Activity/ Service
1.	<ul> <li>Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges.</li> </ul>	choice without any charges for the transfer within 30 days from the date of
	<ul> <li>Participant surrenders the participation by its own wish.</li> </ul>	

#### 6. Dos and Don'ts for Investors

For Do's and Don'ts please refer to the link - Annexure

7. Rights of investors

For rights, please refer to the link - Annexure

8. <u>Responsibilities of Investors</u>

For responsibilities, please refer to the link – Annexure