

Investor Charter

VISION

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

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.

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.

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.

DOs	DON'Ts
<ol style="list-style-type: none"> 1. Read all documents and conditions being agreed before signing the account opening form. 2. Receive a copy of KYC, copy of account opening documents and Unique Client Code. 3. Read the product / operational framework / timelines related to various Trading and Clearing & Settlement processes. 	<ol style="list-style-type: none"> 1. Do not deal with unregistered stock broker. 2. Do not forget to strike off blanks in your account opening and KYC. 3. Do not submit an incomplete account opening and KYC form.

- 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.

						Pending for less than 3 months	pending from more than 3 months	
1	2	3	4	5	6	7		8
1	Directly from investor							
2	SEBI (scores)							
3	Stock Exchange							
4	Other Sources (if any)							
5	Grand Total							
TREND OF MONTHLY DISPOSAL OF COMPLAINTS								
SN	MONTH	Carried forward from previous month	RECEIVED	RESOLVED	PENDING			

1	April	0	0	0	0			
2	May	0	0	0	0			
3	June	0	0	0	0			
4	July	0	0	0	0			
5	August	0	0	0	0			
6	September	0	0	0	0			
7	October	0	0	0	0			
8	November							
9	December							
10	January							
11	February							
12	March							
	Grand Total							
SN	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			
	Grand Total							

Escalation Matrix:					
Details of	Contact Person	Address	Direct Contact No	Email Id	Operational/ Working Hours
Customer care	Mamata S	Unit No : 10, Sector -08 , Artist Village , Central Business District - Belapur Navi Mumbai - 400614. Maharashtra , India	+91 7093014399	corporate@wealthmills.in	9 Am to 6 Pm
Head of Customer Care	Ravi Teja J	same as Above	+91 9491991721	corporate@wealthmills.in	9 Am to 6 Pm
Compliance Officer	Kranthi B	same as Above	+91 9619146488	corporate@wealthmills.in	9 Am to 6 Pm
Chief Executive Officer (CEO)	Kranthi B	same as Above	+91 9619146488	corporate@wealthmills.in	9 Am to 6 Pm

In absence of response/complaint not addressed to your satisfaction, you may lodge a complaint with SEBI at <https://scores.gov.in/scores/Welcome.html> or Exchange at <https://bsecregs.bseindia.com/ecomplaint/frmlInvestorHome.aspx>