Welcome to Mieta Wealth, your trusted partner for all your investment needs. We are proud to offer our valued clients a comprehensive range of investment services, including our specialised investor charter for depository participants. Our team of experienced professionals is dedicated to providing you with personalised investment solutions that meet your unique financial goals. With our state-of-the-art technology and unparalleled customer service, we strive to make investing easy and accessible for everyone.

Our investor charter is designed to offer our clients a seamless and hassle-free investment experience. As depository participants, we understand the importance of providing our clients with easy access to their investment accounts, and we aim to facilitate this process through our investor charter.

Our investor charter for depository participants offers a wide range of features and benefits, including:

- **Secure Access:** Our web platform/mobile secure access to your investment account, ensuring that your personal and financial information is kept safe and secure. In addition, our platform allows you to monitor your investment portfolio, view your transaction history, and make investment decisions from the comfort of your own home or office.
- **24/7 Availability:** Mieta Wealth web platform investor charter is available 24/7, giving you the freedom to manage your investments at any time, from anywhere in the world. This means that you can stay up-to-date with the latest market trends and make informed decisions without worrying about traditional business hours.
- **User-Friendly Interface:** Our user-friendly interface is easy to navigate, making it simple for you to view your investment portfolio and track the performance of your investments. With our user-friendly interface and real-time updates, managing your investments has never been easier or more convenient.
- **Multi-Asset Trading:** Our web platform allows you to trade the performance of your investment portfolio, and stay up-to-date with the latest market trends and make informed decisions about your portfolio. In addition, our investment tracking feature also provides detailed analysis and insights into market trends, helping you to identify potential opportunities for growth and maximize your returns.
- **Easy Transactions:** Mieta Wealth web platform investor charter for depository participants allows you to easily buy and sell investments, transfer funds, and manage your investment portfolio with ease. This saves you time and effort, allowing you to focus on other aspects of your life.
- **Customizable Alerts:** Our web platform, designed with the investor charter for depository participants in mind, offers the ability to establish personalized alerts, enabling you to remain up-to-date on critical market events and developments. With our customizable alerts feature, you can choose to receive notifications via email or text message whenever your investments hit a predetermined price point, or when significant market changes occur.
- **Expert Support:** Our team of investment experts is always available to provide you with personalized support and advice, ensuring that you have the information and guidance you need to make informed investment decisions. Whether you are a beginner or an experienced investor, our expert support team is always ready to assist you.

At Mieta Wealth, we are committed to providing our clients with the highest level of service and support. Our charter for depository participants is just one example of how we are working to make investing easier, more accessible, and more profitable for our clients.

In addition to the features and benefits mentioned above, our web platform investor charter for depository participants also offers a range of investment options to suit your individual needs and preferences. We offer a wide range of investment products, including stocks, bonds, mutual funds, exchange-traded funds (ETFs), and more.

Our investment experts are always available to help you make informed investment decisions and provide you with personalized advice tailored to your investment goals and risk tolerance. We understand that every investor is unique, and we aim to provide our clients to help them achieve their investment objectives.

In all of our interactions with our clients, Mieta Wealth is dedicated to openness and honesty. We support establishing lasting connections based on respect, honesty, and trust. You can trust our investor charter for depository participants and our services to serve as your dependable partner.

So, if you are looking for a reliable and trusted partner for your investment needs, look no further than Mieta Wealth. Contact us today to learn more about our web platform investor charter for depository participants and our other investment services. We look forward to helping you achieve your investment goals.

Disclosure Of Investor Charter For Depositories And Depository Participants

As per the SEBI vide their letter no. SEBI/HO/MRD/DOP/CIR/P/2017/74/31 dated December 29, 2021, has advised the Depositories and Depository Participants (DPs) to bring the Investor Charter to the notice of clients.

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.

MISSION

To provide seamless of investors in dematerialized form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.

To be a trusted partner for investors and provide ease of participation in investors with regard to their holding and transfer of securities held by them.

To provide the highest standards of investor education, investor awareness and investor protection to enhance Investor Protection and create awareness about Investor Rights.

Details Of Business Transacted By The Depository And Depository Participant.(DP).

A Depository is a organized entity/ entities consisting of investors in securities, intermediaries and other access to market participants - Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors is both primary as well as secondary market. The depository carries out its activities through its agents which antecedent as Depository Participants (DP). Details available on the link https://www.cdslindia.com/DP/dpt.aspx.

Description Of Services Provided By The Depository Through Depository Participants (DPs) To Investors

(1) Basic Services

S.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 / Dematerialization	5 Days
4	Re-conversion / Instalment/remnant of Mutual funds units	7 Days
5	Transmission of Securities	7 Days
6	Registering Pledge/ Repoge	20 Days
7	Closure of Demat Account	30 Days
8	Settlement Instructions	For T+1 day settlement, Participants shall accept instructions from the Clients, in physical form up to 4 p.m. (in case of electronic instructions up to 6.30 p.m.) on T day for pay-in of securities. For T+2 day settlements, Participants shall accept DPI instructions from the clients, till 11.00 AM on T day. Note: 'T' refers Trade Day

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

S.No	Type of Activity / Service	Brief about the Activity / Service
1	Value added Service a. Basic Service Demat Account (BSDA)	Depositories also provide value added services such as: The facility of BSDA with revised services for eligible individuals was introduced with the objective of achieving wider financial inclusion and is encouraging holding of demat accounts. The Annual Maintenance Charges (AMC) for BSDA accounts shall be Rs.100/- (Rupees One Hundred only) in case of holdings between Rs.10,001/- (Rs.10,000/- and Rs.2 lakhs) and Rs.50/- (Rupees Fifty only) in case of holdings between Rs.10,000/- (Rupees Ten Thousand only).
	b. Transposition cum dematerialization	In case of transposition cum dematerialization, client can get securities dematerialized in the same account if the names appearing on the certificates match with the names in which the account has been opened but in different sequence. This facility is extended by the Depository through its value added services Transposition Cum and Demat Request Form.
	c. Linkages with Clearing Corporations	For actual delivery of securities to the clearing system from the selling brokers and delivery of securities from the clearing system to the buying broker.
	d. Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPO etc.), Tax Deducted at Source (TDS), CKYC, Annual Statement of securities holdings	
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	Digitization of services provided by the depositories: a. E-account opening	Depositories offer below technology solutions and it facilities to their demat account holders through DPs: Account opening through digital mode, popularly known as "On-line Account opening", wherein investor intending to open the demat account visit DP website, fill in the required information, submit the required documents, conduct video IPV and demat account gets opened without visiting DPs office.
	b. Online instructions for rematerialization	Online instructions for execution remote/ remote pledge/ remote hypothecation services for Bankers (ASDCs) & Corporate (CDSL) empower a demat account holder in managing his/her demat account securities from the comfort of his/her home/office. Depository Participants (DPs) are required to provide the facility to their clients to execute Pledge/ Hypothecation/ Invocation/ Revalidation/ Release/ Confirmation/ Rejection/ Cancel/ Modify/ Revoke/ Delivery Out/ Delivery In and Off market instructions and pledge instructions including margin pledge from their demat account. The instruction facilities are also available on mobile application through android, windows and iOS platforms.
	c. e-DIS / Demat Gateway	Investors can give instructions for transfer of securities through e-DIS apart from physical DIS. Here, for on-market transfer of securities, investors need to provide their DP-ID, Client-ID, ISIN and quantity of securities. The e-DIS facility can be used for off-market transfer of securities for any purpose and for any number of ISINs in a single authorised session. Authorised Demat Gateway (ADG) is a facility provided by Depositories to Depository Participants (DPs). Securities Lock (Demat Gateway) enhances the security of the securities held in demat accounts.
	d. eCAS facility	Consolidated Account Statements are sent every month and could also be accessed through mobile app by facilitate the investors to view their holdings in demat account.
	e. Miscellaneous services	Transaction alerts through SMS, e-Mailer facilities, clarifies for instantaneously responding to investor queries etc., have also been developed.

Details Of Grievance Redressal Mechanism

(1)The Process of investor grievance redressal

S.No	Brief about the Activity / Service	Response / Steps
1	Investor can lodge complaint against a DP in any of the following ways	**Complaint against DP** A Depository Participant (DP) shall establish grievance redressal system of SEBI. 1) Two Level Review for complaint/grievance against DP: Level-1 Review by Compliance Officer of DP Second review done by DP Board 2) Respondent **Depository's** web portal for the filing of complaint 3) **Direct** Depository Service (DP) Portal 4) Email to designated email IDs of Depositories **(complaints@cdslindia.com)** 5) Physical Mode: Investor can write to the Depository (DP) The complained grievances subject directly with the depository shall be resolved within 30 days.
2	Online Dispute Resolution (ODR) platform of Market Conduct and Investor Grievances	Online resolution of disputes via mediation with the resolution provided by DP or other Market Participants, then the Investor may take the complaint to the grievance redressal system of **SEBI/Stock Exchanges** for resolution through by online conciliation or arbitration.
3	Steps to be followed in ODR for Broking, Conciliation and Arbitration	1. Investor to approach Market Participant for redressal of complaint 2. In case online conciliation process, the conciliator will endeavour to provide settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator. 3 If the conciliation is unsuccessful, then the Investor may request to refer the matter for arbitration. 4. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days.
4	Arbitration Proceedings	The investor may also avail arbitration mechanism set up in the Exchanges and Business Rules/Operating instructions of the Depository in relation to the Depository Participant. The investor may also file a complaint against the Depository Participant with the Depository if he/ she is of the opinion that the Depository Participant has failed in the discharge of its obligations.
5	Investor Grievance Redressal Committee of Depository	If no arbitrator resolution is arrived, then the Investor has the option to refer the complaint grievance to the Grievance Redressal Committee (GRC) of Depository. Investor can file a complaint in GRC. The GRC shall endeavour to resolve the complaint/ grievance by hearing the parties and exercising the necessary information and documents.

(2)For the Multi-level complaint resolution mechanism available at the Depositories - Click Here

Guidance Pertaining To Special Circumstances Related To Market Activities: Termination Of The Depository Participant

S.No	Type of Special Circumstances	Timelines for the activity/ Service
1	Depository is authorized to participant in case a participant no longer meets the eligibility criteria specified by the Depository for the acceptance of trading member by the Stock Exchanges Participants surrenders the participation by its own wish.	Client will have to shift his/her securities to any other participant of its choice before the termination of the participant within 30 days from the date of intimation by the way of letter/email.

DO's and DONT's

DO'S

01. Always deal with a SEBI registered Depository Participant for opening a demat account.
02 Read all the documents carefully documents before signing them.
03. Before getting the power of attorney to operate your demat account is an intermediary like a stock broker, Portfolio management services (PMS) etc, carefully examine the scope and implications of the power of attorney.
04. Always make payments to registered intermediaries only through banking channels.
05. Accept the Delivery Instruction Slip (DIS) book from your DP only (pre-printed with a serial number along with your Client ID) and keep it safe subsequently and do not sign or issue blank or partially filled DIS slips.
Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders. Strike out any blank space on the day and the instruction slip should be filled in the sequence in which the demat account is opened.
06. Inform any change in your Personal information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and within confirmation of receipt of change in details.
07. Monitor your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository.
08. Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/operation.
09. Demise is mandatory for any transfer of securities of Listed public limited companies with few exceptions.
10. If you have a grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at https://scores.gov.in/Welcome.html.
11. Keep a record of transactions, DIS issued and account statements received.
12. An Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP in writing immediately.
13. Appoint a nominee to facilitate your heirs to inherit the securities in your demat account, on completion of the necessary procedures.
14. Register for Depository's internet-based facility or download mobile app of the depository to monitor your holdings.
15. Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.

DONT'S

01. Not Pledge/s to be made in the name of employee of intermediary.
02 Do not leave your instruction slip with any Depository Participant.
03. Do not sign DIS as it is equivalent to a blank cheque.
04 Do not share password of your online trading and demat account with anyone.
05. Do not share One Time Password (OTP) received from Stock Exchanges. These are meant to be used by you only.
06. Do not share login credentials of a Facilities provided by the depositories such as a CDSLGenie (pattern), SPEEDI-ebeam etc. with anyone else.
07. Do not blank form/s/slip/s for investments. Seek expert and professional advice for your investments.
08. Beware of assured/fixed returns.

Rights of Investors

INVESTOR RIGHTS

01. Receive a copy of KYC, copy of account opening documents.
02. No minimum balance is required to be maintained in a demat account.
03. No charges are payable for opening of demat accounts.
04. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. You have the right to revoke any authorization given at any time.
05. You can open more than one demat account in the same name with single DP/depository.
06. Receive statement of accounts periodically. In case of any discrepancies in statements, always file same with the DP immediately. If the DP does not respond, take up the matter with the Depositories.
07 Pledge and be any other interest or encumbrance can be created on demat holdings.
08. Right to give standing instructions with regard to the crediting of securities in demat account.
09. Investors can exercise its right to freezes/unfreeze their demat account or specific securities / specific quantity of securities in the account, maintained with the DP.
10. In case of any grievances, Investor has right to approach Participant or Depository or SEBIfor getting the same resolved within prescribed timelines.
11. Every eligible investor shareholder has a right to cast his vote on various resolutions proposed by the companies for which the Depositories have developed an internet based e-voting platform.
12. Receive information about changes and fees. Any change/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the investor.
13 Right to indemnification for any loss caused due to the negligence of the Depository or the participant.
14 Right to opt out of the Depository system in respect of any security.

Responsibilities of Investors

INVESTOR RESPONSIBILITIES

01. Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
02. Provide complete documents for account opening and KYC (Know Your Client). Fill all Mandatory details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
03. Read all documents and conditions being agreed before signing the account opening form.
04. Keep the Securities transaction Slip (DIS) book from DP safe (preferably with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank securities slips (DIS).
05. Always mention the details like ISIN, number of securities accurately.
06. Inform any change in information linked to demat account and obtain confirmation attestation in the system.
07. Appoint a nominee to facilitate your heirs to inherit the securities in your demat account.
08. Approach nominee(s) to facilitate heirs in obtaining the securities in their demat account.
09. Do not fall prey to fraudsters sending emails and SMSs trying to trade in stocks / securitiesproviding high profits.

Code of Conduct for Depositories

(Part D of Third Schedule of SEBI (D & P) regulations, 2018)

A DEPOSITORY SHALL:

01. always abide by the provisions of the Act, Depositories Act, 1996, any Rules or Regulations framed thereunder, circulars, guidelines and any other directions issued by the Board from time to time.
02. adopt appropriate due diligence measures.
03. take effective measures to ensure implementation of proper risk management framework and good governance practices.
04. take appropriate measures towards investor protection and education initiatives.
05. treat all its participants/users in a fair and transparent manner.
06. promptly inform the Board of violations of the provisions of the Act, Depositories Act, 1996, rules, regulations, circulars, guidelines or any other directions by any of its issuer or issuer's agent.
07. take all practicable and reasonable efforts towards safeguarding the interests of investors, integrity of depository's systems and the securities market.
08. endeavour to introduction of best business practices amongst itself and its members.
09. act in utmost good faith and avoid conflicts of interest in the conduct of its business.
10. not indulge in unfair competition, which is likely to harm the interests of any other Depository, their participants or investors or is likely to place them in a disadvantageous position while competing for or executing any assignment.
11. segregate rules and responsibilities of key management personnel within the depository including:
a. Separate functions of Board and Key Management Personnel (KMP)
b. Defining delegation of powers to each Key Management Personnel
c. Assigning regulatory, risk management and compliance aspects to business and support teams.
12. be responsible for the acts or omissions of its employees in respect of the conduct of its business.
13. monitor the compliance of the rules and regulations by the participants and shall further ensure that their conduct is in a manner that will safeguard the interests of the securities market.

Code of Conduct for Participants

(Part A of Third Schedule of SEBI (D & P) regulations, 2018)

01. A participant shall make all efforts to protect the interests of investors.
02. A participant shall at always endeavor to:
(i) maintain high standards of integrity in the business dealing expect in the clients' needs and the environments and be non-professional skills.
(ii) ensure that all professional dealings are effected in a prompt, effective and efficient manner.
(iii) organize from operations and adequate staff with competent and trustworthy persons.
(iv) ensure that its business is conducted in a fair and orderly manner.
03 A participant shall maintain high standards of integrity and fairness in all its dealings with its clients and other intermediaries, in the conduct of its business.
04. A participant shall be prompt and diligent in opening of a beneficial owner account, dispatch of the dematerialization request form, rematerialization request form and execution of dematerialization and rematerialization of securities and transfer of securities in accordance with the rules, bye-laws and regulations of the Depository.
05. A participant shall be prompt and diligent in execution of the instructions of the beneficial owner in respect of the securities held in his account.
06. A participant shall follow the market –Checker concept in all its activities to ensure the accuracy of the data and as a mechanism to check unauthorized transaction.
07 A participant shall take adequate and necessary steps to ensure that correct and complete information is given to the beneficial owners.
08 A participant shall not indulge in any unfair competition, which is likely to harm the interests of other participants or investors or is likely to place such other participants in a disadvantageous position while competing for or executing any assignment.
09. A participant shall not make any exaggerated statement whether oral or written to the clients either about its qualifications or capacity or capability to render certain services or about its achievements in regard to services rendered to other clients.
10. A participant shall not divulge to other clients, press or any other person any information about its clients which has come to its knowledge except with the approval/authorisation of the clients or where it is required to disclose the information under the requirements of any law, Rules and Regulations.
11. A participant shall co-operate with the Board as and when required.
12. A participant shall maintain the required level of financial capacity at all times and abide by the provisions of the Act, Rules, Regulations and circulars and directions issued by the Board. The participant shall also comply with the award of the Ombudsman passed under the Securities and Exchange Board of India (Ombudsman) Regulations, 2003.
13 A participant shall not make any misleading statement or suppress any material fact in its communications, reports, advertisements or information furnished to the Board.
14 A participant shall not neglect or fail or refuse to submit to the Board or other regulatory authority with which it is registered, such books, documents, correspondence, and papers or any part thereof as may be demanded/requisitioned from time to time.
15 A participant shall ensure that the Board is promptly informed about any action, legal proceedings, etc., initiated against it in respect of material breach or non-compliance by it of any law, rules, regulations, byelaws, guidelines and the terms and conditions of its certificate.
16 A participant shall maintain proper record system for all type of mail received or sent.
17 A participant shall follow the market –Checker concept in all its activities to ensure the accuracy of the data and as a mechanism to check unauthorized transaction.
18 A participant shall take adequate and necessary steps to ensure that correct and complete information is given to the beneficial owners.
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26 A participant shall ensure that the Board is promptly informed about any action, legal proceedings, etc., initiated against it in respect of material breach or noncompliance by it of any law, rules, regulations, byelaws, guidelines and the terms and conditions of its certificate.
27 A participant shall maintain proper record system for all type of mail received or sent.

Complaints Resolution Process At Depositories:

DP-Investor Complaints Data Monthly

DP - Investor Complaints Data for Month Ending June 2020.

S.No	Received From	Carried Forward from Previous Month	Received During the Month	Total Pending	Resolved	Pending At End Of The Month	Average Resolution Time (In Days)
1	Directly From Investors	0	0	0	0	0	0
2	SEBI (SCORES)	0	0	0	0	0	0
3	Depository	0	0	0	0	0	0
4	Other Sources (if any)	0	0	0	0	0	0
5	Grand Total	0	0	0	0	0	0

DP-Trend Of Monthly Disposals Of Complaints

S.No	Year	Carried Forward From Previous Year	Received	Resolved	Pending
1	July - 2021	0	0	0	0
2	August - 2021	0	0	0	0
3	September - 2021	0	0	0	0
4	October - 2021	0	0	0	0
5	November - 2021	0	0	0	0
6	December - 2021	0	0	0	0
7	January - 2022	0	0	0	0
8	February - 2022	0	0	0	0
9	March - 2022	0	0	0	0
10	April - 2022	0	0	0	0
11	May - 2022	0	0	0	0
12	June - 2022	0	0	0	0
	Grand Total	0	0	0	0

DP-Trend Of Annual Disposal Of Complaints

DP-Trend of Annual Disposal of Complaints

S.No	Year	Carried Forward From Previous Year	Received During The Year	Received During The Year	Pending At End Of The Year
1	2017-2018	0	0	0	0
2	2018-2019	0	0	0	0
3	2019-2020	0	0	0	0
4	2020-2021	0	0	0	0
5	2021-2022	0	0	0	0
6	2022-2023	0	0	0	0
7	2023-2024	0	0	0	0
8	2024-2025	0	0	0	0
9	2025 - 2026	0	0	0	0
10	2026-2027	0	0	0	0
	Grand Total	0	0	0	0