

Investor Charter of O3 Securities Private Limited – Depository Participant (CDSL)

(as prescribed by SEBI circular No. SEBI/HO/MIRSD/DOP/P/CIR/2021/676 dated 02-Dec-2021)

1. Vision

Towards making the Indian Securities Market - Transparent, Efficient, & Investor friendly by providing a 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 dematerialised form and facilitate its transfer, while ensuring safekeeping of securities and protecting the 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. Details of business transacted by the Depository and Depository 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 [CDSL <https://www.cdslindia.com/DP/dplist.aspx>]

4. Description of services provided by the Depository through Depository Participants (DP) to investors

(1) Basic Services

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
4	Re-conversion / Restatementisation of Mutual fund 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	Depositories also provide value-added services such as <ul style="list-style-type: none"> a. Basic Services Demat Account (BSDA) [<i>link to be provided by DPs</i>] b. Transposition cum dematerialization [<i>link to be provided by DPs</i>] c. Linkages with Clearing System [<i>link to be provided by DPs</i>] d. Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending, demat of NSC / KVP, demat of warehouse receipts etc.
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: <ul style="list-style-type: none"> a. E-account opening: Details available on the link [<i>link to be provided by DPs</i>] b. Online instructions for execution: Details available on the link [<i>link to be provided by DPs</i>] c. e-DIS / Demat Gateway: Details available on the link [<i>link to be provided by DPs</i>] d. e-CAS facility: Details available on the link [<i>link to be provided by DPs</i>] e. Miscellaneous services: Details available on the link [<i>link to be provided by DPs</i>]

5. Details of Grievance Redressal Mechanism

(1) The Process of investor grievance redressal

1	Investor Complaint/ Grievances	<p>Investor can lodge complaint/ grievance against the Depository/DP in the following ways:</p> <p>a. Electronic mode -</p> <p>(i) SCORES (a web based centralized grievance redressal system of SEBI) [https://www.scores.gov.in/scores/Welcome.html]</p> <p>(ii) Respective Depository's web portal dedicated for the filing of compliant [CDSL - https://www.cdslindia.com/Footer/grievances.aspx]</p> <p>(iii) Emails to designated email IDs of Depository [CDSL - complaints@cdslindia.com]</p> <p>b) Offline mode: Emails to designated email IDs of Depository Participant [helpdesk@o3securities.com]</p> <p>The complaints/ grievances lodged directly with the Depository shall be resolved within 30 days.</p>
2	Investor Grievance Redressal Committee of Depository	<p>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 endeavour to resolve the complaint/ grievance by hearing the parties and examining the necessary information and documents.</p>

3	Arbitration proceedings	The Investor may also avail the arbitration mechanism set out in the Byelaws and Business Rules/Operating Instructions of the Depository in relation to any grievance, or dispute relating to depository services. The arbitration reference shall be concluded by way of issue of an arbitral award within 4 months from the date of appointment of arbitrator(s).
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(2) For the Multi-level complaint resolution mechanism available at the Depositories - please refer Point 2 (Investor Grievance Redressal Committee of Depository)

[Complaint-Resolution.pdf](#) [link to be provided by DPs]

6. Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant

Sr. No	Type of special circumstances	Type of special circumstances Timelines for the Activity/ Service
1	<ul style="list-style-type: none"> ▪ 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. ▪ Participant surrenders the participation by its own wish. 	Client will have a right to transfer all its securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.

7. Dos and Don'ts for Investors [link to be provided by the DPs]¹⁰

8. Rights of investors [link to be provided by the DPs]¹¹

9. Responsibilities of Investors [link to be provided by the DPs]¹²
