

## INVESTOR CHARTER

### EMKAY GLOBAL FINANCIAL SERVICES LIMITED (“EGFSL”)

Emkay Global Financial Services Limited (EGFSL) under the SEBI Registration No. INH000000354 operates as a Registered Research Analyst. This Investor Charter is prepared by EGFSL with due reference and in compliance to SEBI Circular SEBI/HO/IMD/IMD-II CIS/P/CIR/2021/0685 dated December 13, 2021 and shall be effective from January 1, 2022. The vision and the mission statement being as follows:

#### **A. VISION AND MISSION STATEMENTS FOR INVESTORS**

##### **i. VISION STATEMENT**

Invest with knowledge & safety.

##### **ii. MISSION STATEMENT**

Every investor should be able to invest in right investment products based on their needs, manage and monitor them to meet their goals, access reports and enjoy financial wellness.

#### **B. DETAILS OF BUSINESS TRANSACTED BY THE RESEARCH ANALYST WITH RESPECT TO THE INVESTORS**

- i.** To publish research report based on the research activities of the RA.
- ii.** To provide an independent unbiased view on securities.
- iii.** To offer unbiased recommendation, disclosing the financial interests in recommended securities.
- iv.** To provide research recommendation, based on analysis of publicly available information and known observations.
- v.** To conduct audit annually.

#### **C. DETAILS OF SERVICES PROVIDED TO INVESTORS (NO INDICATIVE TIMELINES)**

- i.** Onboarding of Clients.
- ii.** Disclosure to Clients - To distribute research reports and recommendations to the clients without discrimination.
- iii.** To maintain confidentiality w.r.t publication of the research report until made available in the public domain.

#### **D. DETAILS OF SERVICES PROVIDED TO INVESTORS (NO INDICATIVE TIMELINES)**

In case of any grievance / complaint, an investor should approach the concerned research analyst and shall ensure that the grievance is resolved within 30 days.

If the investor's complaint is not redressed satisfactorily, one may lodge a complaint with SEBI on SEBI's SCORES portal which is a centralized web based complaints redressal system. SEBI takes up the complaints registered via SCORES with the concerned intermediary for timely redressal. SCORES facilitates tracking the status of the complaint.

**Filing of Complaints on SCORES - details are available in the below section**

<https://www.emkayglobal.com/investor-contacts>

With regard to physical complaints, investors may send their complaints to: Office of Investor Assistance and Education, Securities and Exchange Board of India, SEBI Bhavan. Plot No. C4-A, 'G' Block, Bandra-Kurla Complex, Bandra (E), Mumbai - 400 051.

**E. EXPECTATIONS FROM THE INVESTORS (RESPONSIBILITIES OF INVESTORS)**

**Do's**

- i. Always deal with SEBI registered Research Analyst.
- ii. Ensure that the Research Analyst has a valid registration certificate.
- iii. Check for SEBI registration number.
- iv. Please refer to the list of all SEBI registered Research Analysts which is available on SEBI website in the following link:  
<https://www.sebi.gov.in/sebiweb/other/OtherAction.do?doRecognisedFpi=yes&intmId=14>
- v. Always pay attention towards disclosures made in the research reports before investing.
- vi. Pay your Research Analyst through banking channels only and maintain duly signed receipts mentioning the details of your payments.
- vii. Before buying securities or applying in public offer, check for the research recommendation provided by your research Analyst.
- viii. Ask all relevant questions and clear your doubts with your Research Analyst before acting on the recommendation.
- ix. Inform SEBI about Research Analyst offering assured or guaranteed returns.

**Don'ts**

- i. Do not provide funds for investment to the Research Analyst.
- ii. Don't fall prey to luring advertisements or market rumours.
- iii. Do not get attracted to limited period discount or other incentive, gifts, etc. offered by Research Analyst.
- iv. Do not share login credentials and password of your trading and demat accounts with the Research Analyst.