

Investor Charter for Investors in Securities Market

SEBI has published an Investor Charter for Investors in the Indian Securities Market. This Investor Charter, inter-alia, includes the rights and responsibilities of investors and do's and don'ts of investing in Securities market. (Copy of Investor Charter enclosed).

Redressal of Investor Grievances is an important measure towards investor protection. SEBI accords highest priority to redressal of investor grievances. SEBI has recently taken the following measures to further enhance the effectiveness of Investor Grievance Redressal Mechanism in the Securities Market:

1. To promote transparency, SEBI now publishes a status report about the disposal of investor grievances received on SCORES portal on the website on a monthly basis.
2. The names of Companies/ Intermediaries/ Market Infrastructure Institutions (MIIs), having a longer pendency of investor grievances is published on the SEBI website on a monthly basis.
3. A mechanism has been established whereby all SEBI regulated intermediaries/ entities will have to disclose average time taken for redressal of investor grievances received by them, on their respective websites in a format specified by SEBI, starting from January 2022.
4. SEBI has constantly been taking measures to improve the ease of investing for investors in the market. Many of the market friendly measures have been taken as a result of learnings from various grievances received by SEBI on different subjects. For example, SEBI has recently issued circulars regarding simplified norms for processing of investors' requests received by RTAs, nomination by holders of physical securities, simplification of transmission of shares for one or more of the joint holders, etc. SEBI would continue this endeavor to analyse investors' grievances and take appropriate policy decisions, as may be required, for further improving investor protection measures.
5. In order to have a cost effective and timely dispute resolution, SEBI has put in place an alternate dispute redressal mechanism for grievances against brokers, depository participants at the level of Stock Exchanges and Depositories. SEBI is examining the prospect of establishing similar/ appropriate alternate dispute redressal mechanisms for various services provided by other registered intermediaries/ entities.

November 17, 2021



भारतीय प्रतिभूति और विनियम बोर्ड Securities and Exchange Board of India

INVESTOR CHARTER

OUR VISION

To protect the interests of investors by enabling them to understand the risks involved and invest in a fair, transparent, secure market, and to get services in a timely and efficient manner.

OUR MISSION

- To have streamlined procedures to ensure ease of transacting/ investing in securities market for investors.
- To ensure that SEBI registered intermediaries / regulated entities adhere to their investor charters, including grievance redressal mechanism.
- To enable investors to understand risks involved before investing.
- To ensure fair and equitable treatment to investors.
- To analyse the causes of investor grievances on a periodic basis and make appropriate policy amendments, if required.
- To provide for alternative dispute resolution mechanism in agreements between investors and MIs/ Intermediaries.
- To encourage innovative and digital solutions in securities market.

INVESTORS have RIGHT to:

- Get fair and equitable treatment.
- Expect redressal of investor grievances filed in SCORES in a time bound manner.
- Get quality services from SEBI recognised Market Infrastructure Institutions and SEBI registered intermediaries / regulated entities/ Asset Management Companies.

INVESTORS have RESPONSIBILITY to:

- Deal with SEBI recognised Market Infrastructure Institutions and SEBI registered intermediaries / regulated entities only.
- Update their contact details like address, mobile number, email address, nomination, etc. and other key KYC details in case of any change.
- Ensure that grievances are taken up with the concerned entities within time limits prescribed.
- Ensure that their accounts are operated only for their own benefit.

DO's for Investors:

- Read and understand the documents carefully before investing.
- Know about the Investor Grievance Redressal Mechanism.
- Know the risks involved before investing.
- Keep track of account statements and promptly bring any discrepancy noticed to the concerned stock exchange, intermediary or Asset Management Company.
- Know about various fees, charges, margins, premium, etc. involved in the transactions.
- Preserve relevant transaction related documents.

DONT's for Investors:

- Don't make payments in cash while making any investment in securities market, beyond the prescribed limit.
- Don't share your critical information like account details, login ids, passwords, DIS, etc. with anyone.

Issued in public interest by SEBI



HAR INVESTOR
KI TAAQAT