

# INVESTOR CHARTER: STOCK BROKERS (SEBI PRESCRIBED)

## VISION

To follow the highest standards of ethics and compliance while facilitating client trading in securities fairly and transparently, contributing to wealth creation for investors.

## MISSION

- Provide high-quality and reliable service through innovation, capacity enhancement, and technology.
- Establish and maintain a relationship of trust and ethics with investors.
- Observe the highest standards of compliance and transparency.
- Prioritize investor protection in all services.

## SERVICES PROVIDED TO INVESTORS

- Execution of trades on behalf of investors.
- Issuance of contract notes.
- Issuance of margin due payment intimations.
- Facilitate execution of early pay-in obligation instructions.
- Settlement of client funds.
- Notification of securities held in the Client Unpaid Securities Account (CUSA).

### Sunrise Gilts & Securities Private Limited

CIN: U67100GJ2013PTC077167  
SEBI Registration number - INZ000025734  
BSE Member ID - 4071

### Contact

+91 78618 85164  
help@bondspartners.com  
www.bondspartners.com

### Address

514, 5th Floor, Pinnacle Business Park,  
Corporate Road, Prahaladnagar,  
Ahmedabad 380015 Gujarat-India

- Issuance of retention statements of funds.
- Risk management systems to mitigate operational and market risk.
- Facilitate client profile updates as instructed.
- Sharing exchange circulars with clients.
- Redressal of investor grievances.

## **RIGHTS OF INVESTORS**

- Request information about the work history and background of the account handler, and details about the firm.
- Receive complete information about investment risks, obligations, and costs before investing.
- Obtain recommendations aligned with financial needs and investment goals.
- Access copies of all completed account forms and agreements.
- Get accurate and understandable account statements.
- Understand terms and conditions of all transactions.
- Access funds promptly and be informed about any restrictions.
- Receive information on service charges, transaction fees, and penalties.
- Discuss grievances with the compliance officer and expect prompt and fair handling.

## VARIOUS ACTIVITIES OF STOCK BROKERS WITH TIMELINES

Activity	Expected Timelines
KYC entered into the KRA System and CKYCR	Within 10 days of account opening
Client Onboarding	Immediate, but not later than 1 week
Order Execution	Immediate upon receipt, not later than the same day
Allocation of Unique Client Code	Before trading
Copy of Client Registration Documents	Within 7 days of uploading Unique Client Code to the Exchange
Issuance of Contract Notes	Within 24 hours of trade execution
Collection of Upfront Margin	Before trade initiation
Intimation on Other Margin Payments	End of T day
Settlement of Client Funds	30/90 days for Running Account Settlement (RAS) or within 24 hours if no RAS consent given
Issuance of Funds/Commodities Retention Statement	Within 5 days of settlement
Annual Global Statement	Within 30 days of the financial year-end
Investor Grievance Redressal	Within 30 days of complaint receipt

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## DOs

1. Read all documents before signing the account opening form.
2. Obtain a copy of KYC, account opening documents, and Unique Client Code.
3. Understand trading and settlement processes.
4. Get information on brokerage, fees, and charges.
5. Register your mobile and email for transaction alerts.
6. Carefully review any Power of Attorney before execution, if applicable.
7. Receive contract notes with transaction details within 24 hours.
8. Ensure timely receipt of funds and securities.
9. Verify trade details, contract notes, and account statements.
10. Get periodic statements of accounts.
11. For grievances, approach the broker, stock exchange, or SEBI within specified timelines.

## DON'Ts

1. Avoid dealing with unregistered stock brokers.
2. Do not leave blanks in account opening or KYC forms.
3. Don't submit incomplete KYC forms.
4. Update trading account information when necessary.
5. Only transfer funds to a registered stock broker.
6. Address discrepancies in trade-related emails/SMSs promptly.
7. Avoid digital contracts if not comfortable with computers.
8. Keep your trading password confidential.
9. Beware of schemes promising guaranteed returns.
10. Do not follow herd mentality for investments; seek professional advice.

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## **GRIEVANCE REDRESSAL MECHANISM**

### **Level 1**

Contact the Stock Broker via the designated Investor [grievance@sunrisegilts.com](mailto:grievance@sunrisegilts.com) Resolution aimed for within 30 days of grievance receipt.

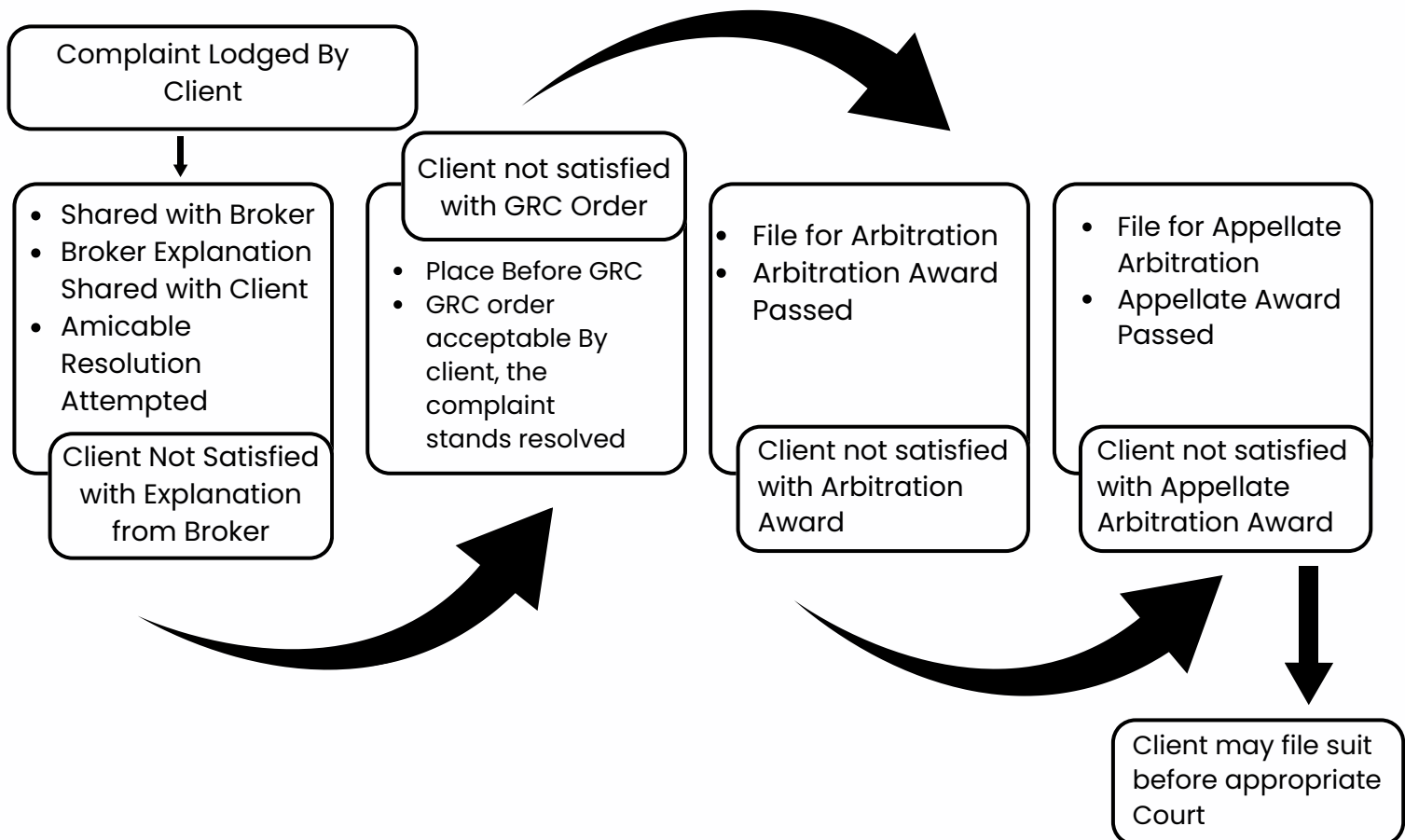
### **Level 2**

Approach the Stock Exchange through the grievance mechanism provided on the exchange's website.

### **Level 3**

If not resolved by the Stock Broker/Exchange, lodge a complaint with SEBI through the SCORES platform:  
<https://scores.sebi.gov.in/scores-home>

## Complaints Resolution Process at Stock Exchange explained graphically:



## COMPLAINTS RESOLUTION PROCESS AT STOCK EXCHANGES

Type of Activity	Timeline
Complaint Receipt	C Day (Day of Complaint)
Additional Information Request	C + 7 Working Days
Registration and Forwarding to Stock Broker	C + 8 Working Days (T Day)
Amicable Resolution	T + 15 Working Days
Grievance Redressal Committee Referral	T + 16 Working Days
Resolution Post-GRC	T + 30 Working Days
Additional Information Request by GRC	T + 45 Working Days
GRC Order Implementation	Immediate on receipt of GRC Order
Stock Broker Intention to Arbitrate	Within 7 days of receiving order
Interim Relief from Investor Protection Fund	After GRC Order, conditions apply
Arbitration Filing by Stock Broker	Within 6 months of GRC Recommendation
Investor Compensation if No Arbitration Filed	Post 6 months of no arbitration filing

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## INVESTOR CLAIMS HANDLING IN CASE OF STOCK BROKER DEFAULT

In case of a Trading Member/Clearing Member (TM/CM) default:

- A circular is issued to declare the broker as defaulter.
- Information is updated on the Stock Exchange website.
- Public Notice is issued to invite claims within a specific period.
- Clients are informed via email and SMS for claim lodging.

## AVAILABLE INFORMATION ON STOCK EXCHANGE WEBSITE

- Norms for compensation eligibility from Investor Protection Fund (IPF).
- Claim forms against defaulter stock brokers.
- FAQs on investor claim processing.
- Online status check for lodged claims.

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