

Investor Charter in respect of Research Analyst (RA)

A. Vision and Mission Statements for investors.

- Vision

Invest with knowledge & safety.

- Mission

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.

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

C. Details of services provided to investors (No Indicative Timelines)

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

D. Details of grievance redressal mechanism and how to access it

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.

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?doReco gnisedFpi=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.

F. Rights of investors

- Right to Privacy and Confidentiality
- Right to Transparent Practices
- Right to fair and Equitable Treatment
- Right to Adequate Information
- Right to Initial and Continuing Disclosure
 - Right to receive information about all the statutory and regulatory disclosures
- Right to Fair & True Advertisement
- Right to Awareness about Service Parameters and Turnaround Times
- Right to be informed of the timelines for each service
- Right to be Heard and Satisfactory Grievance Redressal
- Right to have timely redressal
- Right to Exit from Financial product or service in accordance with the terms and conditions agreed with the research analyst
- Right to receive clear guidance and caution notice when dealing in Complex and High-Risk Financial Products and Services
- Additional Rights to vulnerable consumers
 - Right to get access to services in a suitable manner even if differently abled
- Right to provide feedback on the financial products and services used
- Right against coercive, unfair, and one-sided clauses in financial agreements

Investment in securities market are subject to market risks. Read all the related documents carefully before investing. Registration granted by SEBI vide Registration Number INH000011149, and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors.



Telephone - 9819039345

www.wealthtrustcap.com

admin@wealthtrustcap.com

Konark Shram, Office no. 309, 3rd floor, Janata Nagar,

Tardeo Road, Mumbai Central, Mumbai - 400034

License Holder Details: SEBI Registered Research Analyst vide Registration Number INH000011149

License Holder Name: WealthTrust Capital Services

Brand Name: WealthTrust Capital Services

SEBI Registration No.: INH000011149

Registered Address: Konark Shram, Office no. 309, 3rd floor, Janata Nagar, Tardeo Road, Mumbai Central, Mumbai - 400034

CIN: NA

Support Telephone: 9819039345

Support Email: admin@wealthtrustcap.com

Compliance Officer: , Email ID: snehajain@wealthtrustcap.com

Grievance Officer: , Email ID: snehajain@wealthtrustcap.com