TRADEWELL SECURITIES LIMITED
CIN: U67120TG2007PLC158339
Regd Off: Flat No. 204, Anushka Trendz, B N Reddy Colony, Road No. 14, Banjara Hills, Hyderabad -500034
Phone: 040-23541258 email: info@tradewellmail.com; igtsl@tradewellmail.com URL: www.tradewell.in
Corporate Member: SEBI Reg No: INZ000171936, IN-DP-CDSL-518-2020

Investor Charter – Depository Participant

1. Vision:

Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing 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 interest of investors.
- To provide timely and accurate information to investors regard 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 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	7 days
8	Settlement Instruction	For T+1-day settlements, Participants shall accept instructions from the Clients, in physical form up to 4 p.m. (in case of electronic instructions up to 6.00 p.m.) on T Day for pay-in of securities. For T+0-day settlements, Participants shall accept EPI instructions from the clients, till 11:00 AM on T Day. Note: ‘T’ refers ‘Trade Day’

(2) Depositories provide special services like pledge, hypothecation, internetbased 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 1. Basic Services Demat Account (BSDA) 2. Transposition cum dematerialization 3. Linkages with Clearing System 4. 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 efacilities to their demat account holders through DPs: a. E-account opening (open an account https://www.tradewell.in/) b. Online instructions for execution c. e-DIS Demat Gateway d. e-CAS facility e. Miscellaneous services

5. Details of Grievance Redressal Mechanism

(1) The Process of investor grievance redressal

Sr.No.		
1	Investor Complaint/ Grievances	Investor can lodge complaint/ grievance against the Depository/DP in the following ways: a. Electronic mode - (i) SCORES 2.0 (a web based centralized grievance redressal system ofSEBI) https://scores.sebi.gov.in Two Level Review for complaint/grievance against DP: ○ First review done by Designated Body ○ Second review done by SEBI (ii) Respective Depository's web portal dedicated for the filing of compliant. (iii) Emails to designated email IDs of Depository. b. Offline mode - The complaints/ grievances lodged directly with the Depository shall be resolved within 21 days.
2	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	If the Investor is not satisfied with the resolution provided by DP or other Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through by online conciliation or arbitration. https://smartodr.in/register
3	Steps to be followed in ODR for Review, Conciliation and Arbitration	• Investor to approach Market Participant for redressal of complaint. • If the investor is not satisfied with the response of the Market Participant, he/she can escalate the complaint on the SEBI SCORES portal. • Alternatively, the investor may also file a complaint on the SMARTODR portal for resolution through online conciliation and arbitration. • Upon receipt of a complaint on the SMARTODR portal, the relevant Market Infrastructure Institution (MII) will review the matter and endeavor to resolve it between the Market Participant and investor within 21 days. • If the matter could not be amicably resolved, then the investor may request the MII to refer the matter for conciliation. • During the conciliation process, the conciliator will endeavor for an amicable settlement of the dispute within 21 days, which may be extended by 10 days by the conciliator. • If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration. • The arbitration process is to be concluded by the arbitrator(s) within 30 days, which is extendable by 30 days.

4	Arbitration proceedings	The Investor may also avail the arbitration mechanism proceedings 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)

(2) For the Multi-level complaint resolution mechanism available at the Depositories

6. Guidance pertaining to special circumstances related to market activities:

Termination of the Depository Participant

Sr.No.	Type of special circumstances	Timelines for the Activity/ Service
1	• 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

8. Rights of investors

9. Responsibilities of Investors

10. Code of Conduct for Depositories

12. **Investor Complaints Data**

14. **Escalation Matrix**

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Annexure C

Format for Investor Complaints Data to be displayed by Depository Participants on their respective websites

Data for every month ending – JULY 2026

SN	Received from	Carried forward from previous month	Received during the month	Total Pending	Resolved*	Pending at the end of the month**		Average Resolution timeA (in days)
						Pending for less than 3 months	Pending for more than 3 months	
	1	**2**	**3**	**4**	**5**	**6**		**7**
1	Directly from Investors	NIL	NIL	NIL	NIL	NIL		NIL
2	SEBI (SCORES)	NIL	NIL	NIL	NIL	NIL		NIL
3	Depositori-es	NIL	NIL	NIL	NIL	NIL		NIL
4	Other Sources (if any)	NIL	NIL	NIL	NIL	NIL		NIL

Trend of monthly disposal of complaints

SN	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	**2**	**3**	**4**	**5**	**6**
1	August-2025	NIL	NIL	NIL	NIL
2	September-2025	NIL	NIL	NIL	NIL
3	October-2025	NIL	NIL	NIL	NIL
4	November-2025	NIL	NIL	NIL	NIL
5	December-2025	NIL	NIL	NIL	NIL
6	January-2026	NIL	NIL	NIL	NIL
7	February-2026	NIL	NIL	NIL	NIL
8	March-2026	NIL	NIL	NIL	NIL
9	April-2026	NIL	NIL	NIL	NIL
10	May-2026	NIL	NIL	NIL	NIL
11	June-2026	NIL	NIL	NIL	NIL
12	July-2026	NIL	NIL	NIL	NIL
	Grand Total	NIL	NIL	NIL	NIL

*Should include complaints of previous months resolved in the current month, if any.
**Should include total complaints pending as on the last day of the month, if any. Average resolution time is the sum total of time taken to resolve each complaint in the current month divided by total number of complaints resolved in the current month

Trend of annual disposal of complaints

SN	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at The end of the year
1	**2021-22**	NIL	NIL	NIL	NIL
2	**2022-23**	NIL	NIL	NIL	NIL
3	**2023-24**	NIL	2	1	1
4	**2024-25**	1	NIL	1	NIL
5	**2025-26**	NIL	NIL	NIL	NIL
	Grand Total	1	2	2	1