

SARTHAK GLOBAL LIMITED

CIN: L99999MH1985PLC136835

Regd. Office: 609, Floor-6, West Wing, Tulsiani Chambers, Nariman Point, Mumbai, (MH) 400021, India, Contact No.: 9827522189

Corporate Office: 170/10, Film Colony, R.N.T. Marg, Indore (MP), 452001, India

Phone No.: 0731-4279626, **Email:** sgl@sarthakglobal.com, **Website:** www.sarthakglobal.com

INVESTOR CHARTER – REGISTRARS TO AN ISSUE AND SHARE TRANSFER AGENTS (RTAs)

VISION

To be a trusted, transparent and prompt service provider to the investors, conforming to the highest standards of compliance, confidentiality and professionalism in conduct, to meet the obligation towards investors in Indian capital markets.

MISSION

- To maintain high standard of integrity in the conduct of business by fulfilling obligations in a prompt, ethical and professional manner.
- To comply with all regulatory requirements in a time bound manner
- To facilitate prompt service to investors by and through streamlining the process and harnessing technology
- To facilitate easy approach, communication and interface with investors so as to resolve their queries / grievances

Services provided by RTA to investors

- Providing details of allotment and clarification on allotment.
- Processing change in /up-dation of the KYC details of the investors for physical holdings like change of address/bank account details/ e-mail address /telephone/mobile/ nomination and PAN).
- Processing and updating investor holding/title change requests viz name deletion, transmission, transposition, issue of duplicate shares, dematerialization and rematerialisation of securities.
- Processing of other requests, viz., recording of declaration w.r.t. exemption / lower tax rates for TDS on dividend/interest, revalidation and reissue of dividend and interest instruments.
- Execution and intimation of other corporate actions viz., ESOPs, Dividend payment, Stock split, Bonus issue and Merger/Demerger activities.
- Communication of Rights issue entitlements.
- Communication of Buyback, exit offer, takeover made by the company/ acquirer, and the procedure to be followed by investor in respect of these issues

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- Mandatory execution of transfer of shares and dividends to IEPF and transfer of undelivered share certificates to Suspense account.
- Process grievance received through mails and Letters and those through SCORES also.

Investor Service Standards

Timelines pertaining to various services provided by RTA

Sr. No.	Nature of Service	Expected Timelines (number of days)
A.	Investor Service Request:	
1.	Processing of transmission request	21
2.	Processing of issue of duplicate security certificate request	30
3.	Processing of dematerialization request	15
4.	Processing of remat request	30
5.	Processing of Transposition request	15
6.	I. Processing of request for change in / up-dation of	
	a. Name	30
	b. Signature	30
	c. Nomination	30
	d. Contact details (Address, E-mail address and Mobile number)	15
	e. Bank account details	15
	II. Processing of request for Up-dation of PAN	15
7.	Processing of Re-validation of dividend / interest / redemption instruments and sending the remittance request files to the bank / Company	15
B.	Grievance Redressal	
1	Providing response to the inquiries of the investors and Redressal of Grievance	21

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C.	Other Operational activities	
1.	Allotment of securities (IPO)	3
2.	Intimation regarding distribution of corporate benefits (dividend, bonus, stock Split)	
	E-mail communication	15
	Physical communication	30

Rights of investors

- Receive all the benefits/ material information declared by the Company.
- Actively participate in the AGM / EGM of the company & E-voting events so as to be a part of the decision making of the Company's business resolutions.
- In case of any grievances, approach RTA, Depository, Company, Stock Exchange or SEBI for resolution within prescribed timelines.

DOs and DON'ts for Investor

Dos	Don'ts
<p>1. Encash dividend/Interest regularly to avoid transfer of unclaimed amount/underlying securities to IEPF.</p> <p>2. Follow up diligently and promptly if you have not received allotment intimation/ certificate / dividend / interest etc.</p> <p>3. Ensure that your PAN is registered with the RTA for all your folios.</p> <p>4. Ensure nomination is registered for all your securities to smoothen the transmission.</p> <p>5. Ensure that all KYC details viz full postal address with PIN, mobile number, e-mail address etc. are updated to facilitate the RTA for sending communication.</p> <p>6. Ensure that correct and complete Bank details are recorded with RTA to facilitate prompt electronic credit of dividend / interest / redemption amounts and eliminate possibility of unclaimed amounts / underlying securities being transferred to IEPF.</p>	<p>1. Do not keep your folios without PAN.</p> <p>2. Do not keep your folios without nomination</p> <p>3. Do not deal with unauthorized persons for any investor service requests such as change in / updation of address, e-mail address, mobile number and bank details.</p> <p>4. Do not share security details, viz. folio number, certificate number, distinctive number(s), bank details, specimen signature, KYC documents, etc. with unknown person(s).</p>

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<p>7. Promptly inform the RTA in writing and complete required formalities in case of loss of securities.</p> <p>8. Ensure that the documents provided for availing any investor service request are complete in all respects and keep copies of documents sent to the RTA.</p> <p>9. Monitor all corporate announcements pertaining to investments made.</p>	
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Grievance Redressal – Modes and Escalation Mechanism

Level – 1: To Listed company / Sarthak Global Limited

In the event the grievance / complaint is not redressed after submission of all requisite documents within the expected timelines as mentioned in the Investor Charter or the investor is not satisfied with the resolution, he / she may escalate the grievance / complaint addressed to the Grievance Redressal Division, by email to our dedicated id: sgl@sarthakglobal.com or through a letter (hard copy) addressed to.

Investor Grievance Contact,
Sarthak Global Limited,
170/10, Film Colony, R. N. T. Marg,
Indore (M.P.)-452001

While lodging a complaint it is necessary for investor to mention the following:

- Nature of Complaint
- Name of Issuer Company
- Folio number
- Full Name of shareholder
- E-mail address and mobile number
- Reference to any previous correspondence made in this regard
- Provide the relevant documents and
- also update KYC and details, if there are any changes

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We shall send intimation of redressal / resolution of grievance / complaint via e-mail / physical letter, as applicable, within 21 days from the date of receipt of grievance / complaint.

Level – 2: To Stock Exchanges - Online registration of complaint / grievance on stock exchanges:

1. The nature of the complaint that can be lodged against listed company has been given on the websites of the Stock Exchange. Upon receipt of complaint, the stock exchange shall forward the same to the concerned company with a copy to the complainant.

2. If the company fails to redress the complaint within 21 days, the exchange sends a reminder to the company and follows up with the company and its respective RTA.

Level-3 -To SEBI - Online registration of complaint / grievance on SCORES

If the investor is not satisfied with the redressal / resolution of the complaint by the listed company / Sarthak Global Limited, investor can lodge the complaint with SEBI on **SCORES**.

Grievance Redressal Mechanism at SEBI

Complaints can be lodged with SEBI electronically through SEBI Complaints Redress System - SCORES (a web based centralized grievance redressal system of SEBI at <https://scores.gov.in/>).

Investor Grievance - Escalation Matrix (Annexure-A)

Investor Grievance

Escalation Matrix (Annexure A)

As required under Circular No. SEBI/HO/MIRSD-PoD-1/P/CIR/2023/72 dated 08th June 2023.

In the absence of a response / complaint not addressed to your satisfaction, you may escalate your complaint in the sequence of Escalation Matrix mentioned in the table below with a time gap of 15 days for each escalation.

Details of	Contact Person	Contact No.	Email ID	Address
Customer Care	Narendra Gadekar	0731-4279626	sgl@sarthakglobal.com	Sarthak Global Limited, 170/10, Film Colony, R. N. T. Marg, Indore (M.P.)-452001
Head of Customer Care	Pinkesh Gupta		pinkesh@sarthakglobal.com	
Compliance Officer	Ankit Joshi		sgl@sarthakglobal.com	
COO	Seema Kavindra		seemak@sarthakglobal.com	

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Please quote RE-Number/Unique Reference Number (URN) of the response / complaint not addressed to your satisfaction while raising your complaint in the above escalation matrix.

Office Working Hours (Except Public Holidays)

Monday - Friday 10:00 AM - 5:00 PM

SMART ODR Portal (Securities Market Approach for Resolution Through ODR Portal):

As per a recent Circular, SEBI/HO/OIAE/OIAE_IAD-1/P/CIR/2023/131 dated 31-Jul-23, and SEBI Master Circular dated Aug 04, 2023, SEBI has launched SMART ODR Portal (Securities Market Approach for Resolution Through ODR Portal) for online resolution of disputes in the Indian Securities Market.

File a dispute through online dispute resolution portal in case of non-resolution of grievance by the intermediary within the specified timelines [**SMARTODR**](#)

For more information on online resolution of disputes in the Indian Securities Market, refer to [**SEBI Circular**](#)