

Responsibilities of Investors

- Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
- Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
- Read all documents and conditions being agreed before signing the account opening form.
- Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.
- Always mention the details like ISIN, number of securities accurately.
- Inform any change in information linked to demat account and obtain confirmation of updation in the system.
- Regularly verify balances and demat statement and reconcile with trades /transactions.
- Appoint nominee(s) to facilitate heirs in obtaining the securities in their demataccount.
- Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks /securities promising huge profits.

Annexure C

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

Data for every month ending

S N	Received from	Carried forward from previous month	Received during the month	Total Pending	Resolved*	Pending at the end of the month**		Average Resolution time^ (in days)
						Pending for less than 3 months	Pending for more than 3 months	
1	2	3	4	5	6	7		8
1	Directly from Investors	0	0	0	NA	0	0	NA
2	SEBI (SCORES)	0	0	0	NA	0	0	NA
3	Depositories	0	2	0	2	0	0	3.5
4	Other Sources (if any)	0	0	0	0	0	0	0
5	Grand Total	0	2	0	2	0	0	3.5

Trend of monthly disposal of complaints

SN	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	Jan-2023	0	2	2	0
3	Feb-2023				
4	March-2023				

				
				
	March-2023				
	Grand Total				

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
5	2022-23	0	98	98	0
	Grand Total	0	98	98	0