

Citizen Charter of Stockholding Services Limited

[CIN no. U65990MH1995GOI085602]

1. What we are

Stockholding Services Limited (SSL) wholly owned subsidiary of Stock Holding Corporation of India Limited (SHCIL) and a SEBI registered Stock Broker, Research Analyst and Depository participants, member of BSE, NSE, and MCX. The Stock Broking services are offered to both retail investors and institutional clients. With the improved trading & operation platforms, your Company is actively looking to enhance the business through Alternate Channel Partners in the Retail space and Foreign Portfolio Investors in the Institutional space.

2. Mission

To be a world class technology driven and client focused market leader in financial services.

3. Our Endeavor :

- To provide a customized product mix offering through various online platforms to satisfy & maximize the customer needs for building, enduring and sustaining relationship.
- To act fairly and reasonably in all our dealings with customers.
- Dealings with customers rest on ethical principles of integrity and transparency by providing clear information about products and services.
- Ensuring and maintaining privacy and confidentiality of the Customer's data.

Details of SSL offerings are available on our website
www.stockholdingservices.com

4. Application of the Charter

Disclaimer: This is not a legal document and does not give rise to any rights and/or obligations. The purpose of this Charter is to promote fair practices with respect to the products and services offered/provided by SSL and /or its associates.

5. Business activities of SSL

Your Company is in the business of Stock Broking and is a member of BSE- Cash, NSE-Cash, Derivatives, Currency Derivatives and MCX commodities segment. The Stock Broking services are offered to both retail investors and institutional clients. SSL is also registered Depository Participant of Central Depository Services India Limited (CDSL) and registered with SEBI as a Research Analyst. SSL strives:

- To provide services in a professional, efficient, and courteous manner;
- Not to discriminate on the basis of religion, caste, sex, descent or any of them;
- To be fair and honest in advertisement and marketing of our Products;
- To attempt in good faith to resolve any disputes or differences with customers by setting up Grievances Redressal Cell within the organization;
- To comply with all the regulatory requirements in good faith.

6. Business activities of Subsidiary companies

SSL does not have any subsidiary.

7. Our Customers / clientele

Our customers consist of corporates and retail clients serviced by over 250 branches through authorized person and holding company Stock Holding Corporation of India Ltd on a pan India basis.

8. What we expect from our Customers

- To be honest in declaration and submission of information, as and when required.
- To help comply with the stipulated regulatory requirements under Know Your Customer and Anti Money Laundering (AML) guidelines.
- To place grievances, if any, to Customer care email id and helplines.
- To provide valuable feedback on our services to enable us to continuously improve and embark upon new initiatives.

9. Code of Conduct

SSL has a code of conduct for Directors and all the Employees based on the following fundamental principles:

- Compliance with all laws/rules/regulations laid down by Government / Regulatory agencies;
- Exercising due diligence in the performance of duties;
- Avoidance of conflict of interest between self-interests of Directors, Employees and interests of SSL.
- Fairness and transparency in dealing with matters relating to SSL; ➤ Avoid any act which will put reputation of SSL in jeopardy.

10. Grievances Redressal System (GRS)

SSL has provided for online registration of grievances through customer care email ids / helpline. Any anonymous complaints will however, not be entertained.

11. Investor Grievance Mechanism:

In case of any grievance / complaint against the StockHolding Services Limited for its Stock Broking, Depository Participant Activity, Portfolio Management and Research Analyst.

You may contact as per the escalation matrix mentioned below:

- **E-mail ID for Customer Desk:**

Regarding queries related to Contract Notes, Ledger Statement, Client Master Report, Capital Gain Statement, Profit and Loss Statement etc.

Contact Person	Ms. Shikha Jindal /Ms. Sakshi Pol
E-mail ID	customerdesk@stockholdingservices.com
Contact Number	080-69850100

- **First Level of Escalation / Grievance:**

Contact Person	Mr. Gaurav Srivastava
Stock Broking & allied activities	grievances@stockholdingservices.com
Depository Participant & allied activities	dp.grievance@stockholdingservices.com
Portfolio Activities	grievances@stockholdingservices.com
Research Analyst Activities	grievances@stockholdingservices.com
Contact Number	022-61778661

- **Second Level of escalation in case of Non-satisfaction at the First Level:**

Compliance Officer	Ms. Poonam Chhikara
E-mail ID	Poonam.chhikara@stockholdingservices.com
Contact Number	022-61778605

- **If not satisfied with the response of StockHolding Services Limited, you may contact the concerned Stock Exchange / Depository at the following:**

	Web Address	Contact No.	E-mail ID
BSE	www.bseindia.com	022-22728517	isc.mumbai@bseindia.com
NSE	www.nseindia.com	022-26598191	ignse@nse.co.in
MCX	www.mcxindia.com	022-67318888	grievance@mcxindia.com
CDSL	www.cdslindia.com	1800-200-5533	complaints@cdslindia.com
NSDL	www.nsdl.co.in	1800-1020-990	relations@nsdl.co.in

You may also register your complaint on	https://scores.gov.in/scores/Welcome.html
Smart Online Dispute Resolution Portal (Smart ODR)	https://smartodr.in/login

“Escalation Matrix”

“Annexure A”

Details Of	Contact Person	Address	Contact No.	E-mail ID
Customer Care	Ms. Shikha Jindal Ms. Sakshi Pol	SHCIL House, Plot No. P- 51, T.T.C. Industrial Area, MIDC, Mahape, Navi Mumbai - 400710.	080-69850100	customerdesk@stockholdingservices.com
Head of Customer Care	Mr. Rajiv Somaiya	Same as above	022- 61778622	Rajiv.Somaiya@stockholdingservices.com
Compliance Officer	Ms. Poonam Chhikara	Same as above	022-61778605	ssl.compliance@stockholdingservices.com
MD & CEO	Mr. Prabhat Kumar Dubey	Same as above	022-61778603	md_desk@stockholdingservices.com

- NSE Complaints: <https://investorhelpline.nseindia.com/NICEPLUS/>.
- BSE Complaints: <https://bseers.bseindia.com/ecomplaint/firmInvestorHome.aspx>
- MCX Complaints: <https://www.mcxindia.com/Investor-Services>
- In absence of response / complaint not addressed to your satisfaction, you may lodge a complaint with SEBI at - <https://scores.gov.in/scores/Welcome.html>
- Please quote your Service Ticket/Complaint Ref No while raising your complaint at SEBI SCORES/Exchange portal
- Smart Online Dispute Resolution Portal (Smart ODR) - <https://smartodr.in/login>
- Working Hours: 9:00 AM to 5:30 PM

- a) For any grievance related to the shareholders of SSL, the investors are advised to approach the following Registrars (R & T A), by quoting their Folio No./DP & Client Id, for physical and demat holding respectively:-

M/s.Link Intime India Pvt. Ltd.,
247 Park, C 101 1st Floor, LBS Marg, Vikhroli (W), Mumbai- 400083
Phone: +91 22 49186000 Extn: 2469|7
Fax: +91 22 49186060

Our Registered office address:

Stockholding Services Limited

Plot No P-51 TTC Industrial Estate, MIDC Mahape, Navi Mumbai
400710.

Website: www.stockholdingservices.com

Telephone: +91-22-61778662.