



Shares & Securities Limited

SEBI RESEARCH ANALYST REGISTRATION NO. : INH00002210
REGISTERED OFFICE ADDRESS : 61, 6TH FLOOR, MITTAL CHMABERS
228 NARIMAN POINT, MUMBAI, MAHARASHTRA – 400021

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.



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- 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?doRecognisedFpi=yes&intmlId=14>



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- 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.

RK Global

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Complaint Data to be displayed by RAs

Formats for investors complaints data to be disclosed monthly by RAs on their website/mobile application:

Data for the month ending – December 2021

Sr. No.	Received from	Pending at the end of last month	Received	Resolved*	Total Pending#	Pending complaints > 3months	Average Resolution time^ (in days)
1	Directly from Investors	Nil	Nil	Not Applicable	Nil	Nil	Not Applicable
2	SEBI (SCORES)	Nil	Nil	Not Applicable	Nil	Nil	Not Applicable
3	Other Sources (if any)	Nil	Nil	Not Applicable	Nil	Nil	Not Applicable
	Grand Total	Nil	Nil	Not Applicable	Nil	Nil	Not Applicable

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.



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Trend of monthly disposal of complaints

Sr. No.	Month	Carried forward from previous month	Received	Resolved*	Pending#
1	April, 2021	Nil	Nil	Not Applicable	Nil
2	May, 2021	Nil	Nil	Not Applicable	Nil
3	June, 2021	Nil	Nil	Not Applicable	Nil
4	July , 2021	Nil	Nil	Not Applicable	Nil
5	August,2021	Nil	Nil	Not Applicable	Nil
6	September,2021	Nil	Nil	Not Applicable	Nil
7	October,2021	Nil	Nil	Not Applicable	Nil
8	November,2021	Nil	Nil	Not Applicable	Nil
9	December,2021	Nil	Nil	Not Applicable	Nil
	Grand Total	Nil	Nil	Not Applicable	Nil

*Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual disposal of complaints

SN	Year	Carried forward from previous year	Received	Resolved*	Pending#
1	2018-19	Nil	Nil	Not Applicable	Nil
2	2019-20	Nil	Nil	Not Applicable	Nil
3	2020-21	Nil	Nil	Not Applicable	Nil
	Grand Total	Nil	Nil	Not Applicable	Nil

*Inclusive of complaints of previous years resolved in the current year.

#Inclusive of complaints pending as on the last day of the year.