



ALPHAGREP ADVISORS PRIVATE LIMITED

INVESTMENT ADVISOR CHARTER

SEBI REGISTRATION NUMBER: INA000018470

(Pursuant to SEBI Circular No. SEBI/HO/IMD/IMD-II CIS/P/CIR/2021/0686 dated December 13, 2021)

A. VISION AND MISSION STATEMENTS FOR INVESTORS

Vision

The Vision of Investment Advisor is to advice on Investment 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 INVESTMENT ADVISER WITH RESPECT TO THE INVESTORS

- The Investment Advisor enters into an agreement with the client providing all details including fee details, aspect of Conflict of interest disclosure and maintaining confidentiality of information.
- Investment Advisor does proper and unbiased risk – profiling and suitability assessment of the client.
- In order to comply and have a proper check of applicable KYC norms, Investment advisor had obtained and is continuing the registration obtained with Know Your Client Registration Agency (KRA) and Central Know Your Customer Registry (CKYC).
- As per SEBI (Investment Advisor) Regulations, the Investment Advisor is required to conduct its Audit Annually. Accordingly, Annual Audit had been conducted and will be conducted on Annual Basis.
- The Status of complaints is provided on the website <https://alphagrepim.com/regulatory/> by the company.
- Name of the Advisor, name of the proprietor, type of Registration, Registration Number, Validity of the SEBI Registration Certificate, Complete Address with Telephone Numbers and Associated SEBI Regional / Local Office details are available on the website of the company. <https://alphagrepim.com/regulatory/>.
- Investment Advisor is Registered Investment Advisor with SEBI under SEBI (Investment Advisor) Regulations. Therefore, it is bound by the said regulations and accordingly have employed all the qualified and certified employees as is

mandated under Regulation 7 of SEBI (Investment Advisor) Regulation, 2013.

- The Investment Advisor deals with its clients only through its official number.
- Interactions with clients are carried out only through registered email ids. Investment Advisor have maintained the necessary records of interactions, with all clients including prospective clients, i.e. prior to On-Boarding, where any conversation related to advice has taken place.

C. DETAILS OF SERVICES PROVIDED TO INVESTORS

Onboarding of Clients

Onboarding steps include:

1. Sharing of Application form and Investment Advisory services agreement with the clients.
2. Completing KYC of the client.
3. Risk profiling and assessment of the client

The Investment Advisor completes the KYC of its clients as a first and a foremost step of its client and thereafter provides the relevant services by executing the agreement with the client.

Disclosure to Clients

Full disclosures about the details of its business, affiliations, compensation is provided in the Agreement entered between the Client and the Investment Advisor.

The services of the IA is limited only to the extent of advising the client and it has no access to any client's accounts or holdings for offering advice. The Risk Profile of the client is disclosed to him by way of email along with the Agreement.

The Investment advice provided by the investment Advisor to the client is based on the risk- profiling of the client done and its corresponding confirmation from the client at the time of on-Boarding and / or periodically.

D. DETAILS OF GRIEVANCE REDRESSAL MECHANISM AND HOW TO ACCESS IT

Investors are advised that in case of any grievance / complaint, an investor may approach Renaissance Smart Tech on our email id agadvisors@alphagrepim.com and we shall ensure that the grievance is resolved within 30 days of receipt of the same.

If the investor is not redressed satisfactorily with our response, 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.

Link for SCORES Portal is as follows: <https://scores.gov.in/scores/Welcome.html>

Investors also have the option of sending the complaints physically to SEBI. Accordingly, Investors may send complaints physically to following address:

*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.*

After exhausting these options for resolution of the grievance, if the investor is not satisfied with the outcome, they can initiate dispute resolution through the ODR Portal at <https://smartodr.in/login>. They can directly initiate dispute resolution through the ODR Portal if the grievance lodged with the Investment Adviser is not satisfactorily resolved at any stage of the subsequent escalations mentioned above. Our website has a link to access the SEBI Master Circular and the ODR Portal.

E. EXPECTATIONS FROM THE INVESTORS (RESPONSIBILITIES OF INVESTORS)

Following are some Do's and Don'ts of Investor. Investors are urged to read and understand them carefully;

Do's

The investors are expected to do the following things with respect to availing the Investment Advisory Services.

Sr No.	Dos
1	Always deal with SEBI registered Investment Advisers. SEBI registration Number may suffice as Evidence of being SEBI Registered Investment Advisor.
2	Ensure that the Investment Adviser has a valid Registration Certificate.
3	Check for SEBI registration number. Please refer to the list of all SEBI registered Investment Advisers which is available on SEBI website in the following link: https://www.sebi.gov.in/sebiweb/other/OtherAction.do?doRecognisedFpi=yes&int mId=13)
4	Pay only advisory fees to your Investment Adviser. Make payments of advisory fees through banking channels only and maintain duly signed receipts mentioning the details of your payments.
5	Always ask for your risk profiling before accepting investment advice. Insist that Investment Adviser provides advisory strictly on the basis of your risk profiling and take into account available investment alternatives.
6	Ask all relevant questions and clear your doubts with your Investment Adviser before

	acting on advice.
7	Assess the risk–return profile of the investment as well as the liquidity and safety aspects before making investments.
8	Insist on getting the terms and conditions in writing duly signed and stamped. Read these terms and conditions carefully particularly regarding advisory fees, advisory plans, category of recommendations etc. before dealing with any Investment Adviser.
9	Be vigilant in your transactions.
10	Approach the appropriate authorities for redressal of your doubts / grievances.
11	Inform SEBI about Investment Advisers offering assured or guaranteed returns.

Don'ts

The investors are expected to not do the below mentioned with respect to availing the Investment Advisory Services.

Sr No.	Don'ts
1	Don't fall for stock tips offered under the pretext of investment advice.
2	Do not provide funds for investment to the Investment Adviser.
3	Don't fall for the promise of indicative or exorbitant or assured returns by the Investment Advisers. Don't let greed overcome rational investment decisions.
4	Don't fall prey to luring advertisements or market rumors.
5	Avoid doing transactions only on the basis of phone calls or messages from any Investment adviser or its representatives.
6	Don't take decisions just because of repeated messages and calls by Investment Advisers.
7	Do not fall prey to limited period discount or other incentive, gifts, etc. offered by Investment advisers.
8	Don't rush into making investments that do not match your risk taking appetite and investment goals.
9	Do not share login credential and password of your trading and demat accounts with the Investment Adviser.
