



INVESTOR CHARTER

Right Alpha Capital Private Limited

A. Vision and Mission Statements for Clients

- Vision
Invest with knowledge & safety
- Mission
Every client should be able to invest in the 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 Company with respect to the Clients

- To enter into a service agreement with the client providing all details including fee details, aspect of conflict of interest disclosure and maintaining confidentiality of information.
- To do a proper and unbiased risk – profiling and suitability assessment of the client.
- To obtain registration with Know Your Client Registration Agency (KRA) and Central Know Your Customer Registry (CKYC).
- To conduct an audit annually.
- To disclose the status of complaints on its website.
- To disclose the name, proprietor name, type of registration, registration number, validity, complete address with telephone numbers and associated SEBI regional/local Office details in its website.
- To employ only qualified and certified employees.
- To deal with clients only from an official number.
- To maintain records of interactions, with all clients including prospective clients (prior to onboarding), where any conversation related to advice has taken place.

C. Details of services provided to Clients (No Indicative Timelines)

- Onboarding of Clients
 - Sharing of agreement copy
 - Completing KYC of clients
- Disclosure to Clients
 - To provide full disclosure about its business, affiliations, compensation in the agreement.
 - To not access client's accounts or holdings for offering advice.
 - To disclose the risk profile to the client.
- To provide investment advice to the client based on the risk-profiling of the clients and suitability of the client.

D. Details of grievance redressal mechanism and how to access it

1. In case of any grievance / complaint, an investor should approach the concerned Investment Adviser and shall ensure that the grievance is resolved within 30 days.

2. 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.
3. 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 - 400051.

E. Expectations from the Clients (Responsibilities of Clients)

- **Do's**

- i. Always deal with SEBI registered Investment Advisers.
- ii. Ensure that the Company has a valid registration certificate.
- iii. 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&intmId=13>
- iv. Pay only advisory fees to the Company. Make payments of advisory fees through banking channels only and maintain duly signed receipts mentioning the details of your payments.
- v. Always ask for your risk profiling before accepting investment advice. Insist that the Company provides advisory strictly on the basis of your risk profiling and take into account available investment alternatives.
- vi. Ask all relevant questions and clear your doubt with the Company before acting on advice.
- vii. Assess the risk–return profile of the investment as well as the liquidity and safety aspects before making investments.
- viii. 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 the Company.
- ix. Be vigilant in your transactions.
- x. Approach the appropriate authorities for redressal of your doubts/grievances.
- xi. Inform SEBI about the Company if it ever offers assured or guaranteed returns.

- **Don'ts**

- i. Don't fall for stock tips offered under the pretext of investment advice.
- ii. Do not provide funds for investment to the Company.
- iii. Don't fall for the promise of indicative or exorbitant or assured returns by the Company. Don't let greed overcome rational investment decisions.
- iv. Don't fall prey to luring advertisements or market rumors.
- v. Avoid doing transactions only on the basis of phone calls or messages from any Investment adviser or its representatives.
- vi. Don't take decisions just because of repeated messages and calls by the Company.
- vii. Do not fall prey to limited period discounts or other incentives, gifts, etc. offered by the Company.



- viii. Don't rush into making investments that do not match your risk-taking appetite and investment goals.
- ix. Do not share login credentials and password of your trading and demat accounts with the Company.