PAWAN PARMESHWAR CAPITAL PVT LTD

Regd. Office: 187, Dadiseth Agyari Lane, 4th Floor, Singhania Wadi, Mumbai – 400 002
Head Office: 136-138, ORM Wing B Co-Op Premises Soc. Ltd., Ground Floor, Royal Palm, Goregaon East, Mumbai – 400 065
Tel: 022-22014936 / 4961 3718

Member: NSE Code: 00188 | BSE Code: 0550

Investor Charter — Stock Broker

Version 1.0

Document Title	Investor Charter — Stock Broker
Version	1.0
Date of Approval	16th October 2025
Effective Date	20th October 2025
Owner	Compliance Department
Approving Authority	Board of Directors of Pawan Parmeshwar Capital Pvt Ltd
Next Review Date	Annually, or earlier upon regulatory change
Replaces	Not applicable — first formal version under SEBI Circular dated December 17, 2021

1. Introduction

This Investor Charter is published by Pawan Parmeshwar Capital Pvt Ltd ("the Company"), a Stock Broker registered with the Securities and Exchange Board of India ("SEBI") and a Trading Member of the National Stock Exchange of India Ltd (NSE Code 00188) and BSE Limited (BSE Code 0550).

The Charter is framed in accordance with SEBI Circular SEBI/HO/MIRSD/MIRSD_CRADT/CIR/P/2021/685 dated December 17, 2021 on "Publishing Investor Charter and disclosure of complaints by stock brokers on their websites". It is intended to inform investors of the services provided by the Company, the rights of investors, expected timelines for various activities, the grievance redressal mechanism, and the dos and don'ts for investors transacting in the securities market.

This Charter is required to be prominently displayed on the website of the Company and at the offices of the Company, and shall be furnished to clients on request.

2. Vision

To be a trusted intermediary in the Indian securities market, recognised for the integrity of our dealing practices, the rigour of our compliance framework, the quality of our service to clients, and our unwavering commitment to investor protection and the orderly functioning of the markets.

3. Mission

- To provide stock broking services across the Cash and Derivatives Segments of NSE and BSE in a fair, professional and compliant manner.
- To safeguard the funds and securities of our clients at all times in accordance with the regulatory framework.
- To maintain confidentiality of client information and to protect personal data in accordance with applicable law.
- To provide accurate, timely and complete information to clients in respect of their transactions, holdings and balances.
- To handle client complaints fairly, promptly and transparently.
- To uphold the highest standards of integrity in our dealings with clients, regulators and counter-parties.

4. Services Provided to Investors

- Execution of orders to buy and sell securities in the Cash Segment of NSE and BSE, subject to applicable terms.
- Execution of orders to buy and sell contracts in the Equity Derivatives, Currency Derivatives, and other derivatives segments where the Company is enabled, subject to applicable terms.
- Issue of contract notes for executed trades in compliance with the SEBI prescribed format and timelines.
- Settlement of trades through the Clearing Corporation in compliance with the prescribed settlement framework.
- Maintenance and operation of client funds account in accordance with the SEBI framework.
- Periodic settlement of running accounts in accordance with the client's election (quarterly or monthly), the SEBI framework, and the Settlement of Running Account Policy of the Company.

- Issue of statements of account, statements of holdings and other periodic communications.
- Receipt and processing of corporate actions affecting client positions.
- Handling of complaints and grievances in accordance with the Complaint Redressal Policy of the Company.

5. Rights of Investors

- Right to fair and prompt service across the Cash and Derivatives Segments at the offices of the Company and through approved electronic channels.
- Right to receive a copy of the Account Opening Form, Rights and Obligations document, Risk Disclosure Document, Guidance Note and other prescribed documents at the time of onboarding.
- Right to receive the Most Important Terms and Conditions (MITC) document in plain language.
- Right to a Unique Client Code (UCC) and confirmation of registration with NSE / BSE as applicable.
- Right to receive contract notes for all executed trades in the prescribed format within the timeline prescribed by SEBI.
- Right to receive periodic statements of account and statements of holdings.
- Right to receive funds and securities to which the client is entitled in accordance with the prescribed timelines.
- Right to receive settlement of running account at the frequency elected (quarterly or monthly), with statement of accounts and details of the calculations.
- Right to operate the trading account through written, authenticated email, recorded telephone line or approved electronic platform, in accordance with the Order Acceptance Policy of the Company.
- Right to confidentiality of personal information, KYC details and trading information, subject to disclosure required by law to SEBI, the Stock Exchanges, the Clearing Corporations, tax and other regulatory authorities.
- Right to lodge complaints with the Company and to have them redressed in accordance with the Complaint Redressal Policy.
- Right to escalate unresolved complaints to SEBI through the SCORES platform (scores.sebi.gov.in) and to the Online Dispute Resolution (ODR) platform (smartodr.in) operated under the SEBI ODR framework.

- Right to seek information about the Company's registration with SEBI, NSE, BSE, the Clearing Corporations, the Compliance Officer's details and the Investor Charter.
- Right to be treated fairly and not be subjected to any unauthorised trade or manipulation.
- Right to receive education and information about the securities market, the products being transacted, and the associated risks.

6. Various Activities — Expected Timelines

The following table sets out the timelines within which the Company shall endeavour to complete various client-facing activities, in alignment with the SEBI Investor Charter framework. The timelines reflect ordinary business conditions; in exceptional circumstances (such as system disruption, regulatory action, force majeure), reasonable delays may occur.

Activity	Expected Timeline
Account opening / activation following receipt of completed documents	Within 7 working days, subject to KRA, CKYCR, sanctions screening and risk-categorisation outcomes
Issue of contract notes for executed trades	Within 24 hours of trade execution, by email (digital contract note) to the registered email address
Statement of accounts for funds and securities	Quarterly (or as elected by the client) within the timelines prescribed under the SEBI Settlement of Running Account framework
Funds pay-out (settlement of running account)	Within the timelines prescribed under the SEBI Settlement of Running Account framework, on the elected frequency (quarterly or monthly)
Transfer of unpaid securities to client demat account	Within the timelines prescribed under the SEBI / Clearing Corporation framework for client securities
Acknowledgement of complaint	Within 1 working day of receipt by the Company
Resolution of complaint	Within 21 calendar days of receipt; complex matters as soon as practicable thereafter
KYC update on event-driven trigger	Within 30 days of receipt of the relevant document / intimation
Reactivation of Inactive / Dormant Account	Within 7 working days of receipt of complete request together with KYC update

Closure of account on client request	Within 7 working days of receipt of closure request together with reconciliation, settlement of dues, and transfer of securities and funds

7. Dos for Investors

- Read carefully the Account Opening Form, the Rights and Obligations document, the Risk Disclosure Document, the Guidance Note, the Most Important Terms and Conditions (MITC) and the Investor Charter before opening the account.
- Provide accurate, complete and current KYC information including PAN, OVD, address proof, bank account proof, demat account proof, financial information (where applicable), and FATCA/CRS self-certification.
- Inform the Company promptly of any change in your name, address, registered office, contact details, bank account, demat account, FATCA/CRS status, beneficial ownership, authorised signatories or any other KYC particulars.
- Place orders only through the channels permitted by the Company, namely: in writing, by authenticated email from your registered email address, on a recorded dealing line, or through approved electronic / DMA platforms.
- Verify the contract notes issued in respect of your trades and report any discrepancy to the Compliance Officer immediately.
- Verify your statements of accounts and statements of holdings periodically and report any discrepancy promptly.
- Maintain confidentiality of your trading credentials, passwords, OTPs and other authentication information.
- Take note of restrictions on the use of certain trading channels (such as personal mobile, WhatsApp, Telegram, SMS) for order placement, in accordance with SEBI / Exchange requirements.
- Settle your funds and securities obligations to the Company within the timelines prescribed.
- Approach the Compliance Officer of the Company at first instance with any complaint or grievance. Lodge complaints with SEBI through SCORES (scores.sebi.gov.in) only if not resolved through the Company's internal mechanism within the prescribed timeline.
- Avail of the Online Dispute Resolution (ODR) facility (smartodr.in) for unresolved disputes.

8. Don'ts for Investors

- Do not place orders through unauthorised channels including WhatsApp, Telegram, Signal, SMS, social media, personal mobile of any employee, or any other non-permitted channel.
- Do not share your trading credentials, passwords or OTPs with any person, including any employee of the Company. The Company does not require your credentials to service your account.
- Do not act on tips, rumours, market manipulation suggestions, unverified WhatsApp / social-media "calls", or any market-related communication from sources whose authenticity you cannot verify.
- Do not deal with any person claiming to represent the Company outside the official communication channels.
- Do not transfer funds to bank accounts other than the designated Client Funds account of the Company.
- Do not make payments in cash to the Company or to any of its employees in any circumstances. The Company does not accept cash.
- Do not provide pre-funded instruments (DDs / pay orders) without compliance with the Company's Pre-Funded Instrument Policy.
- Do not ignore communications from the Company regarding KYC update, periodic review, or settlement of running account; failure to respond may lead to restrictions on the operation of your account.
- Do not part with possession of original KYC documents at the Company's office; submit only certified copies and produce originals for verification.

9. Grievance Redressal Mechanism

The Company is committed to the prompt and fair resolution of all client complaints. The escalation matrix is as follows:

9.1 Level 1 — Compliance Officer of the Company

All complaints in the first instance shall be addressed to the Compliance Officer of the Company:

- Name: Mr. Rajkumar Pandey
- Designation: Compliance Officer
- Email: [as published on the Company's website]
- Telephone: 022-22014936 / 4961 3718

- Address: Pawan Parmeshwar Capital Pvt Ltd, 136-138, ORM Wing B, Royal Palm, Goregaon East, Mumbai – 400 065.

9.2 Level 2 — SEBI SCORES Platform

If your complaint is not satisfactorily resolved by the Company within 21 calendar days of lodging the same with the Compliance Officer, you may escalate the complaint to SEBI through the SCORES platform:

- Website: scores.sebi.gov.in
- The SCORES platform allows complainants to register, track and update complaints online.

9.3 Level 3 — Online Dispute Resolution (ODR) Platform

Investors may also avail of the Online Dispute Resolution (ODR) facility for disputes with SEBI-registered intermediaries:

- Website: smartodr.in
- ODR provides for conciliation and online arbitration of disputes, in accordance with the framework prescribed by SEBI.

9.4 Stock Exchange Investor Service Cells

Complaints may also be lodged with the Investor Service Cells of NSE and BSE in accordance with their respective procedures.

10. Disclosure of Complaints

In accordance with the SEBI Circular dated December 17, 2021, the Company shall disclose on its website, on a monthly basis, the following information in respect of investor complaints:

- Number of complaints pending at the beginning of the month.
- Number of complaints received during the month.
- Number of complaints resolved during the month.
- Number of complaints pending at the end of the month.
- Average resolution time for complaints resolved in the month.
- Reasons for any complaints pending beyond 21 calendar days.

These disclosures shall be updated within the prescribed timelines and shall be retained on the website for the prescribed period.

11. Information about the Company

The following information about the Company is available on the website and at its offices for reference of investors:

- Name and registered office address of the Company.
- SEBI registration number(s) and Stock Exchange registration codes (NSE 00188; BSE 0550).
- Names and contact details of the Compliance Officer, the Principal Officer (PMLA), the Designated Officer for Cyber Security, and the Grievance Officer (where separately designated).
- Names of the directors / key managerial personnel.
- Banking details to which clients are required to remit funds (Client Funds account).
- Demat account details of the Company's pool / beneficiary account through which client securities are settled, where applicable.
- Most Important Terms and Conditions (MITC) document and standard Rights and Obligations document.
- This Investor Charter.

12. Display and Distribution

This Investor Charter shall be:

- Prominently displayed on the homepage of the Company's website.
- Displayed at the registered office and head office of the Company.
- Provided to every new client at the time of onboarding, as part of the welcome kit.
- Provided to existing clients on request.
- Reviewed and updated annually, and on any change in the SEBI framework relating to investor charters.

13. Roles and Responsibilities

- Board of Directors: Approves this Investor Charter; reviews annual updates; takes ultimate responsibility for the Company's investor-facing obligations.
- Compliance Officer (Mr. Rajkumar Pandey): Owns this Charter; ensures display on the website and at the offices; oversees the monthly disclosure of complaints; coordinates with SCORES / ODR / Stock Exchange Investor Service Cells; reports to the Board.
- Information Technology Function: Ensures the Charter and complaint disclosures are prominently displayed on the website and are kept current.

- All employees of the Company: Are familiar with this Charter and refer client queries appropriately.

14. Review

This Investor Charter shall be reviewed annually by the Compliance Officer and any proposed amendments shall be placed before the Board for approval. The Charter shall also be reviewed in response to any amendment to the underlying SEBI Circular dated December 17, 2021, the SCORES / ODR framework, the Stock Exchanges' Investor Service Cell procedures, the Settlement of Running Account framework, or other applicable framework.

Board Approval

This Investor Charter — Stock Broker (1.0) has been reviewed and approved by the Board of Directors of Pawan Parmeshwar Capital Pvt Ltd at its meeting held on 16th October 2025.

The Board has also recorded, on the same date, the following:

- The Board approves this Investor Charter as the document required under SEBI Circular SEBI/HO/MIRSD/MIRSD_CRADT/CIR/P/2021/685 dated December 17, 2021 on "Publishing Investor Charter and disclosure of complaints by stock brokers on their websites".
- The Board confirms Mr. Rajkumar Pandey as the Compliance Officer responsible for display of this Charter, monthly complaint disclosures, and coordination with SCORES, smartodr.in and the Stock Exchanges' Investor Service Cells.
- The Board directs the Information Technology function to display this Charter and the monthly complaint disclosure prominently on the Company's website with effect from the Effective Date, and to update both periodically.
- Cross-references to related policies (Complaint Redressal Policy v2.0, Order Acceptance Policy v2.0, KYC Policy v2.0, Settlement of Running Account Policy v1.0, Inactive and Dormant Accounts Policy v2.0, Pre-Funded Instrument Policy v2.0, Mobile Phone Usage Policy v1.0) are noted.

For PAWAN PARMESHWAR CAPITAL PVT. LTD.

PK Choudhary

~~Director / Authorised Signatory~~

PAWAN PARMESHWAR CAPITAL PVT. LTD.
MUMBAI

Director / Authorised Signatory

Name: Pawankumar Choudhary

Designation: Designated Director

Date: 16th October 2025

Place: Mumbai