SEBI Research Analyst

Investor Charter

In respect of Research Analysts, for Tradesurf Research Private Limited.

↓ Download Investor Charter (PDF)

Vision

Invest with knowledge & safety.

Mission

Every investor 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.

Details of business transacted by the Research Analyst

- To publish research reports based on the research activities of the RA.
- To provide an independent, unbiased view on securities.
- To offer unbiased recommendations, disclosing financial interests in recommended securities.
- To provide research recommendations based on analysis of publicly available information and known observations.
- To conduct an audit annually.
- To ensure that all advertisements adhere to the Advertisement Code for Research Analysts.
- To maintain records of interactions with all clients (including prospective clients prior to onboarding) where any conversation related to research services has taken place.

Services provided to investors

Onboarding of clients and completing the KYC of fee-paying clients. (No indicative timelines.)

Disclosures to clients

- ✓ To disclose information material for the client to make an informed decision — including business activity, disciplinary history, terms and conditions of research services, details of associates, and risks and conflicts of interest, if any.
- ✓ To disclose the extent of use of Artificial Intelligence tools in providing research services.
- ✓ To disclose, while distributing a third-party research report, any material conflict of interest of the third-party provider, or provide a web address directing to the relevant disclosures.
- ✓ To disclose any conflict of interest of research services with other activities of the research analyst.
- ✓ To distribute research reports and recommendations to clients without discrimination.
- ✓ To maintain confidentiality regarding publication of the research report until it is made available in the public domain.
- ✓ To respect the data-privacy rights of clients and protect against unauthorised use of their confidential information.
- ✓ To disclose the timelines for services and ensure adherence to them.
- ✓ To provide clear guidance and adequate caution notices when recommending complex and high-risk financial products/services.
- ✓ To treat all clients with honesty and integrity.

Grievance redressal mechanism

In case of any grievance, an investor may approach the Research Analyst, who shall strive to redress it promptly (and no later than 21 days of receipt). If unresolved, investors may escalate on SEBI's SCORES 2.0 platform (two-level review — first by the designated body, RAASB, and then by SEBI), and thereafter file on the SMART ODR platform for online conciliation or arbitration.

To contact the Research Analyst

Tradesurf Research Private Limited
D1-501 Lunkad Zodiac, Satyam Marg,
Konark Nagar, Clover Park, Viman Nagar,
Pune, Maharashtra 411014, India

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

See the full Grievance Redressal & Escalation Matrix →

Rights of investors

- ✓ Right to Privacy and Confidentiality
- ✓ Right to Transparent Practices
- ✓ Right to Fair and Equitable Treatment
- ✓ Right to Adequate Information
- ✓ Right to Initial and Continuing Disclosure
- ✓ Right to receive information about all statutory and regulatory disclosures
- ✓ Right to Fair & True Advertisement
- ✓ Right to Awareness about Service Parameters and Turnaround Times
- ✓ Right to be informed of the timelines for each service
- ✓ Right to be Heard and to Satisfactory, Timely Grievance Redressal
- ✓ Right to Exit from a financial product or service per the agreed terms
- ✓ Right to receive clear guidance and caution notices for complex and high-risk products
- ✓ Additional rights to vulnerable consumers, including access to services if differently abled
- ✓ Right to provide feedback on the financial products and services used
- ✓ Right against coercive, unfair and one-sided clauses in financial agreements

Expectations from investors (responsibilities)

DO'S

- ✓ Always deal with a SEBI-registered Research Analyst.
- ✓ Ensure the Research Analyst has a valid registration certificate and check the SEBI registration number.
- ✓ Always pay attention to the disclosures made in research reports before investing.
- ✓ Pay your Research Analyst through banking channels only and keep duly signed receipts. You may pay via the Centralized Fee Collection Mechanism (CeFCoM) of RAASB, if opted for.
- ✓ Before buying/selling securities or applying in a public offer, check the research recommendation provided.
- ✓ Ask all relevant questions and clear your doubts before acting on a recommendation, especially for complex, high-risk products.

DON'TS

- ✕ Do not provide funds for investment to the Research Analyst.
- ✕ Do not get attracted to limited-period discounts, incentives or gifts offered by a Research Analyst.
- ✕ Do not share the login credentials and passwords of your trading, demat or bank accounts with the Research Analyst.
- ✕ Inform SEBI about any Research Analyst offering assured or guaranteed returns.