



GREEN  
LANTERN  
CAPITAL  
LLP

## INVESTOR CHARTER

[www.greenlanterncapital.in](http://www.greenlanterncapital.in)

# INVESTOR CHARTER IN RESPECT FOR PORTFOLIO MANAGEMENT SERVICES

## A. Vision and Mission Statements for Investors

### **Vision:**

- Be a trusted, long-term steward of capital.
- Protect wealth in uncertainty and compound it across cycles.
- Uphold discipline, integrity, and consistency in every decision.
- Create sustainable value through quality, governance, and research.
- Set the benchmark for responsible and transparent portfolio management.
- Grow with clients across generations while strengthening India's investment ecosystem.

### **Mission:**

- Deliver disciplined, research-driven portfolio management focused on capital preservation and long-term wealth creation.
- Generate consistent, risk-adjusted returns across market cycles through prudent risk management.
- Apply a structured investment process grounded in quality, governance, and valuation discipline.
- Maintain transparency, strong governance, and the highest standards of ethics and compliance.
- Align our interests with clients through responsible capital stewardship and long-term thinking.
- Help investors navigate volatility with clarity, patience, and confidence.

## B. Details of Business Transacted by the Organization with respect to the Investors

### **Investor Risk Profiling**

Undertake comprehensive risk profiling through a detailed questionnaire and discussions to assess objectives, risk appetite, and investment horizon.

### **Disclosure Document**

Provide the Disclosure Document prior to onboarding and funding, and communicate any material updates promptly.

### **PMS Agreement & POA**

Execute the PMS Agreement along with a Power of Attorney authorizing portfolio management as per agreed terms.

### **Investment Management**

Manage investments under a discretionary mandate or provide advisory services, as applicable, in line with the investor's profile and objectives.

## C. Details of Services provided to Investors

### **Discretionary Portfolio Management Services (PMS)**

The portfolio manager makes investment decisions on behalf of the investor. Decisions are executed without requiring prior approval for each transaction. The minimum size of the portfolio investment is INR 1 Crore, in case of Residents (Individual and Non individual) For Non-Resident Individuals (NRI) it is INR 5 Crores. However, the PMS provider reserves the right to prescribe a higher threshold product-wise or in any other manner at its sole discretion. The PMS provider will ascertain the investor's investment objectives to achieve optimal returns based on his risk profile.

### **Investment Advisory Services**

Under these services, the Client receives buy/sell advice aligned with their overall profile. The PMS provider acts solely as an advisor, with no responsibility for trade execution, custody, accounting, investment/divestment decisions, or administrative activities. The provider operates in a fiduciary capacity, maintains an arm's length relationship with other activities, and delivers advisory services in accordance with applicable regulatory guidelines and Client directives.

### Client On-Boarding

- Ensuring compliance with KYC and AML guidelines.
- franking & signing the Power of Attorney to make investment decisions on behalf of the investor.
- opening demat account and funding of the same from the investor’s verified bank account and/or transfer of securities from verified demat account of the investor and
- Mapping of the said demat account with Custodian.

### Ongoing Activities

- To provide monthly and quarterly statements to investors as provided under the PMS Regulations 2020 and other SEBI notifications and circulars (“PMS Regulations”) and
- Providing each client an audited account statement on an annual basis which includes all the details as required under the PMS Regulations.
- To provide data as and when required by the client.

### Fees and Expenses

Charging and disclosure of appropriate fees & expenses in accordance with the PMS Regulations – Schedule V- Fees and Charges

### Closure and Redemption

Upon termination of PMS Agreement by either party, the securities and the funds lying in the account of the investor shall be transferred to the verified bank account/ demat account of the investor.

### Grievance Redressal

Addressing in a time bound manner investor’s queries, service requests and grievances, if any, on an ongoing basis.

### D. Estimated Timelines

SN	SERVICE / ACTIVITY	TIMELINE
1	Opening of PMS account (including demat account) for residents.	T+ 6 days from receipt of all requisite documents from the client, subject to review of the documents for accuracy and completeness by portfolio manager and allied third party service providers as may be applicable.
2	Opening of PMS account (including demat account) for non-individual clients.	T + 8 days from receipt of all requisite documents from the client, subject to review of the documents for accuracy and completeness by portfolio manager and allied third party service providers as may be applicable.
3	Opening of PMS account (including demat account, bank account and trading account) for non-resident clients.	25 days from receipt of all requisite documents from the client, subject to review of the documents for accuracy and completeness by portfolio manager and allied third party service providers as may be applicable.
4	Registration of nominee in PMS account and demat account.	Registration of nominee should happen along with account opening; therefore, turnaround time should be same as account opening turnaround time.



SN	SERVICE / ACTIVITY	TIMELINE
5	Modification of nominee in PMS account and demat account.	T+ 7 days from receipt of requisite nominee modification form, subject to review of the documents for accuracy and completeness by portfolio manager and allied third party service providers as may be applicable.
6	Uploading of PMS account in KRA and CKYC database.	Portfolio Manager relies on the custodian for updating the same.
7	Whether portfolio manager is registered with SEBI, then SEBI registration number.	At the time of client signing the agreement; this information should be a part of the account opening form and disclosure document.
8	Disclosure about latest net-worth of portfolio manager and total AUM.	Disclosure of portfolio manager's total AUM - monthly to SEBI Disclosure of latest net-worth should be done in the disclosure document whenever there are any material changes.
9	Intimation of type of PMS account – Discretionary.	At the time of client signing the agreement; this information should be a part of the account opening form.
10	Copy of executed PMS agreement sent to client.	Within 7 days of Client Funding the Account.
11	Frequency of disclosures of available eligible funds.	All details regarding client portfolios should be shared quarterly (point 26). But for better portfolio access we send monthly Portfolio statements also.
12	Issuance of funds and securities balance statements held by client.	This data should be shared on a monthly or quarterly basis or upon client request.
13	Intimation of name and demat account number of custodian for PMS account.	As and when received by the Depository.
14	Intimation regarding PMS fees and modes of payment or frequency of deduction.	At the time of client signing the agreement; this information should be a part of the account opening form.
15	PoA taken copy to client.	With the Agreement copy
16	Intimation to client about what all transactions can portfolio manager do using the PoA.	At the time of client signing the agreement; this information should be a part of the account opening form; it shall include buying/selling in the demat account specifically opened.
17	Frequency of providing audited reports to clients.	Annual.
18	Explanation of risks involved in investment.	At the time of client signing the agreement; this information should be a part of the account opening form.
19	Intimation of tenure of portfolio investments.	Indicative tenure should be disclosed at the time of client signing the agreement; this information should be a part of the account opening form.



SN	SERVICE / ACTIVITY	TIMELINE
20	Intimation clearly providing restrictions imposed by the investor on portfolio manager.	Negative list of securities should be taken from the client at the time of client signing the agreement; this information should be a part of the account opening form.
21	Intimation regarding settling of client funds and securities.	Settlement of funds and securities is done by the Custodian. The details of clients' funds and securities should be sent to the clients in the prescribed format not later than on a quarterly basis.
22	Frequency of intimation of Transactions undertaken in portfolio account.	Not later than on a quarterly basis or upon clients' request.
23	Intimation regarding conflict of interest in any transaction.	The portfolio manager should provide details of related party transactions and conflict of interest in the Disclosure Document which should be available on website of portfolio manager at all times.
24	Timeline for providing disclosure document to investor.	The latest disclosure document should be provided to investors prior to account opening and the latest disclosure documents should be available on website of portfolio manager at all times.
25	Intimation to investor about details of bank accounts where client funds are kept.	Within 3 days of PMS and demat account opening.
26	Redressal of investor grievances.	Within 30 days, subject to all the information required to redress the complaint is provided by the complainant to the portfolio manager.

Note: The number of days in the above timelines indicate clear working days

### **E. Details of Grievance Redressal Mechanism and how to access it**

- It is mandatory for every PMS provider to register itself on SEBI SCORES (SEBI Complaint Redress System). SCORES is a centralised online complaint resolution system through which the complainant can take up his grievance against the PMS provider and subsequently view its status. (<https://scores.gov.in/scores/Welcome.html>).
- The details such as the name, address and telephone number of the investor relations officer of the PMS provider who attends to the investor queries and complaint should be provided in the PMS Disclosure document.
- The grievance redressal and dispute mechanism should be mentioned in the Disclosure Document.
- Investors can approach SEBI for redressal of their complaints. On receipt of complaints, SEBI takes up the matter with the concerned PMS provider and follows up with them.
- 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.

## **F. Expectations from the investors (Responsibilities of investors)**

- Check registration status of the intermediary from SEBI website before availing services.
- Submission of KYC documents and application form in a timely manner with signatures in appropriate places and with requisite supporting documents.
- Read carefully terms and conditions of the agreement before signing the same.
- Thorough study of the Disclosure Documents of the PMS to accurately understand the risks entailed by the said investment in PMS.
- Accurate and sincere answers given to the questions asked in the 'Risk Questionnaire' shall help the PMS provider properly assess the risk profile of the investor.
- Thorough study of the quarterly statements sent by the PMS provider to the investor intimating him about the portfolio's absolute and relative performance, its constituents and its risk profile.
- Ensure providing complete details of negative list of securities as part of freeze instructions at the time of entering into PMS agreement and every time thereafter for changes, if any, in a timely manner.
- To update the PMS provider in case of any change in the KYC documents and personal details and to provide the updated KYC along with the required proof.