**POLICY FOR INVESTOR COMPLIANTS AND REDRESSAL**

The compliant of the client either made verbally, telephonically, written or through e­ mail or posted on the website of the company, should be entered in the register of complaints.

The compliant can be nature of

1. Non receipt of confirmation of trade
2. Non receipt of contract note
3. Non receipt of payment
4. Non receipt of delivery
5. Non receipt of financial statements
6. Non receipt of security statements
7. Non receipt of margin statements
8. Trade without consent
9. Any other complaint and service issue

The complaint received at the branch or head office should be immediately attended to and solutions to be provided for that to the satisfaction of client.

If the complaint received at the branch, the complaint should be attended by the branch head and to be intimated to the back office and compliance officer and if the compliant received at head office than the compliant should be forwarded to back office head with intimation to compliance officer.

If the complaint pertains to point no. 1 to 7, it is the duty of back office head to investigate the reasons for non receipt and immediately to ensure the delivery of the requisite document to the concerned client. The complaint should be resolved within in period of 3 days, After the resolution of the compliant the same should be intimated to compliance officer.

In the case of compliant pertains to point no. 8 & 9, the complained should be straight forwarded to compliance officer for its redressal. It is the duty of the compliance officer to thoroughly investigate the matter with client and the concerned employee of the company. After, investigating all the facts, the compliance officer has to satisfy the client and to ensure proper rederessal to the complaint. The complaint should be resolved within a period of 15 days

The nature of complaints should be analysed on regular basis to have the track of its repetition, recurrence to particular employee, complaints fro01 any particular station, seriousness of the compliant. After the analysis, the responsibility should be fixed and necessary steps and action should be initiated for the non repetition of complaint.

The complaint register should be put up to the director on monthly basis for updating the complaints and its redressal.