

## **REDRESSAL MECHANISM FOR INVESTOR GRIEVANCE**

### **Overview**

This policy focuses on Investor Grievance and discusses the solutions and objectives of redressal mechanism for investor grievance, and some common implementation issues.

### **Purpose**

Solutions for redressal mechanism for investor grievance to safe the interest of investors and as well as also the organization's goodwill, intrusion detection and problem analysis. The purpose of establishing this policy is to detect and sort out the grievance of investors.

### **Scope**

This policy covers all individuals & Corporate responsible and accountable for the protection from fraud.

This policy also covers goodwill of the organization. This policy establishes issues involved in implementing and evaluating the interest of investor & organization. Responsibility and Impact This policy provides guidelines for procedures and responsibilities for investor grievance.

### **Impact**

This policy will provide the ability to take appropriate action on those employees that perform unauthorized access of client funds & trading.

### **Infrastructure**

Compliance officer should ensure that proper guide lines must be maintained, reviewed, and archived on all clients that process the execution of trades.

### **Procedures**

Compliance officer is solely responsible for handling the client grievances and he/she can access investor complain email id and grievance register. If any complain lodge by the client then he/she can communicate with client to understood the issue and solve the same with the help of concern executives. Each and every complaint must be recorded in register by the supervision of Compliance officer.