



## REDRESSAL MECHANISM FOR INVESTOR GRIEVANCE

### Overview

Redressal mechanism for Investor Grievance and by user activity of systems and applications. 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 <sup>guard</sup> 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 investor.

### 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

##### Managers

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

##### Infrastructure

Working with Application Compliance Managers ensure that proper guide lines must be maintained, reviewed, and archived on all clients that process the execution of trades.

### Procedures

Compliance manager solely responsible to handling the client grievance 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 understand the issue and solve the same with the help of concern executives. Each and every complain must be recorded in register by the supervision of compliance manager.

