

INVESTOR GRIEVANCES REDRESSAL MECHANISM

A Register of complaints must be maintained centrally in the main office. A separate email Id must be maintained for the purpose of redressal of investors complaints and the clients must be informed of the same via the client registration kit, contract notes, display on company sign boards, letterheads, visiting cards and any other possible medium. The clients must be requested to make complaints either through emails or in print form for effective redressal of the same.

A log of all such complaints is to be maintained in the register of complaints. The compliance officer is responsible for monitoring the investor complaints and resolving the same. The directors will review the register of complaints periodically and ensure that there are no long pending complaints.

If the number of complains increases beyond a reasonable number then an analysis is to be made by the compliance officer to ascertain the underlying problem so that an effective solution can be achieved for the same.