



# POLICY ON INVESTOR GRIEVANCE REDRESSAL

April 05, 2023





---

## **POLICY ON INVESTOR GRIEVANCE REDRESSAL**

### **Asian Markets Securities Private Limited**

B-709, Express Zone, Western Express Highway, Malad East, Mumbai, Maharashtra 400097.

Tel: +91-22-43435000

This document has been prepared by Asian Markets Securities Private Limited for private circulation only. No representation or warranty, either expressed or implied, is made nor responsibility of any kind is accepted by <Asian Markets Securities>, its directors or employees either as to the accuracy or completeness of any information stated in this document. Neither Asian Markets Securities Private Limited, nor any of its affiliates and/or their directors, officers, employees shall in any way be responsible or liable for any losses or damages whatsoever which any person may suffer or incur as a result of acting or otherwise relying upon anything stated or inferred in or omitted from this document.

The opinions and projections found in this document reflect our opinion as of the document date and are subject to change without notice. This document is neither intended nor should be considered as an offer or solicitation, or as the basis for any contract, for purchase of any security, loan or other financial instrument.



### **OBJECTIVES OF THE POLICY**

Asian Markets Securities Private Limited believes that Investor service is a vital element for sustained business growth. Asian Markets Securities Private believes that Prompt and efficient service is essential to retaining existing relationships and therefore Client satisfaction becomes critical for us. Client queries and complaints constitute an important voice of Client and this policy details grievance handling through a structured grievance redressal framework. Grievance redressal is supported by a review mechanism, to minimize the recurrence of similar issues in future.

Objective of this policy document is to ensure that:

- Issues raised by investors are dealt with courtesy and are resolved on time.
- The Company will treat all the complaints efficiently and fairly without any bias.

### **GRIEVANCE REDRESSAL POLICY**

We provide services as SEBI registered Portfolio Manager, Stock Broker, Depository Participant and Research analyst. Clients/ Investors can approach us for grievance redressal as per below mentioned matrix:

- Client shall first approach to Compliance Officer/ Investor relation officer for raising complaint.
- Compliance Officer / Investor relation officer shall respond to client/ Investor with acknowledgment of receipt of complaint with complaint number.
- First assistance in response to the complaint raised by client shall be sent by Grievance Department within 3 working days of receipt of complaint.
- Compliance Officer shall resolve the investor / client complaint within 10 working days. If the Compliance Officer requires the assistance of other department or senior management to resolve the complaint, he /she shall ensure to complete the resolution process within 30 days.
- Clients /Investors shall approach to Compliance Officer / investor resolution officer for complaints as per below mentioned contact details:

### **REGISTRATION OF COMPLAINTS <Stock Broking/DP/PMS/Research Analyst>**

For queries related to portfolio management services, clients can register their complaints at below mentioned contact details:

1. **Email** - Clients can email us at [info@amsec.in](mailto:info@amsec.in)
2. **Contact**- + 91-022-43435000
3. **Address** - B-709, Express Zone, Western Express Highway, Malad East, Mumbai, Maharashtra 400097
4. SEBI has launched a centralized web-based complaints redress system (SCORES), which enable investors to lodge and follow up their complaints and track the status of redressal of such complaints from anywhere. This also enables the market intermediaries and listed companies to receive complaints from investors against them, redress such complaints and report redressal. All the activities starting from lodging of a complaint till its disposal by SEBI would be carried online in an automated environment and the status of every complaint can be viewed online at any time. An investor, who is not familiar with SCORES or does not have access to SCORES, can lodge complaints in physical form. However, such complaints would be scanned and uploaded in SCORES for processing.  
Link: <http://scores.gov.in>



Investors/ clients 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.

### RESOLUTION OF COMPLAINTS

- General Turn Around Time (TAT) for response to complaint is 10 days from the receipt of the valid complaint in writing.
- Primary responsibility is with the Compliance Officer to resolve the complaint for which he would liaise with the other relevant departments.
- If the issue cannot be resolved by the Compliance Officer, the same will be escalated again to the Senior Management.
- All complaints received shall be recorded internally including how the same has been resolved.

### ESCALATION MATRIX

**Level 1** - If issue of client stands unresolved in 10 days, client can contact Compliance Officer for redressal of issues by sending email at [narendra.singh@amsec.in](mailto:narendra.singh@amsec.in) or can call on 91-22-42173030 between 9:30 a.m. to 6:00 p.m.

**Level 2** - If client is not satisfied with the resolution provided through the **Level 1** method of handling complaint; the investor / client can escalate the issues to the next higher level i.e. to The Director of Asian Markets Securities Private Limited. Such escalation should be made in writing by email to Director at [kailash.biyani@amsec.in](mailto:kailash.biyani@amsec.in)

### Others

For escalation of grievances with respect to any other products/services, the Client can write to the senior management on the following email ids:

Grievance Redressal Officer: [vishvesh.bhatt@amsec.in](mailto:vishvesh.bhatt@amsec.in)

### **Disclaimer & Review**

This policy & Procedure must be reviewed as and when there are new licenses obtained or regulatory amendments and in absence of any amendment, on yearly basis. It may contain confidential or legally privileged information. The addressee is hereby notified that any disclosure, copy, or distribution of this material or the contents thereof may be unlawful and is strictly prohibited.