

The image features a blue diagonal banner on the left side. The background is a collage of financial data, including a laptop keyboard in the top right, a pen on a document, and several computer monitors displaying various financial charts and data tables. The text is overlaid on the blue banner.

**ASIAN MARKETS**  
— SECURITIES —

# COMPLAINT REDRESSAL POLICY



## Complaint Redressal Policy

Following types of complaints are envisaged:

1. Complaints type I: Complaint from the client to us directly / routed through Help Desk, Police or consumer court
2. Complaints type II: Client complaint received from Exchanges /SEBI / Arbitration
  1. Complaint from the client to us directly / routed through Police or consumer court
    - 1.1. Record the complaint in the register being maintained for this purpose
    - 1.2. Circulate a scanned copy to the Managing Director, Director, and Compliance Officer.
    - 1.3. Send a copy of the complaint to the concerned Regional Head, Branch Manager etc seeking facts of the case and taking up with the client to resolve the issues raised in the complaint. BM and must respond within 24 hours with the facts of the case. If the complaint is resolved, they should get the satisfaction letter from the client within seven working days from the date of receipt of complaint. Depending upon their response, a view will be taken whether to further fight the case or not.
    - 1.4. If prima-facie the complaint proves Sales personnel guilty, then the incentive of the concerned BM is kept frozen up to the amount of claim till the case is resolved. Every case copy should be marked to HR head with the amount of claim for which incentive will be frozen. However in cases where in a clear case of fraud is depicted the Salary of concerned BM will be kept on hold till the case is resolved.
    - 1.5. If a satisfaction letter is received from the client, a letter will be sent directly to the client from HO confirming closure of the complaint.
    - 1.6. If no satisfaction letter is received, the complaint be pursued in line with facts of each individual case.
    - 1.7. In the meantime, a turn around time (TAT) of 48 hours is to be observed for ascertaining facts at the HO level like recordings etc.
    - 1.8. If ultimately the complaint is resolved by accepting a claim and its settlement, the same will be recovered from the incentive of the BM, Regional Head in the percentage of 100 and 5 respectively of the claim amount. Where ever, the branch manager is a head and there is no regional head, these percentages will be 100, 8 and 2 respectively. This recovery is apart from any other disciplinary action that the company may take against the concerned employee/s
    - 1.9 The management at its sole discretion can change the ratios of recovery, if circumstances so warrant.



## 2. Client complaint received from Exchanges /Sebi / Arbitration

- 2.1. Record the complaint in the register being maintained for this purpose
- 2.2. Circulate a scanned copy to the MD, Director, and Compliance officer
- 2.3. Send a copy of the complaint to the concerned Regional Head, BM, seeking facts of the case and taking up with the client to resolve the issues raised in the complain. BM and his reporting officer must respond within 24 hours with the facts of the case. Depending upon their response reply would be sent to the concerned authority.
- 2.4. If prima-facie the complaint proves concerned person guilty, then the incentive of the concerned BM is kept frozen up to the amount of claim till the case is resolved. Every case copy should be marked to HR head with the amount of claim for which incentive will be frozen. However in cases where in a clear case of fraud is depicted the Salary of concerned BM will be kept on hold till the case is resolved.
- 2.5. In the meantime, a turn around time (TAT) of 48 hours is to be observed for ascertaining facts at the HO level like recordings etc.
- 2.6. The complaint be pursued in line with facts of each individual case.
- 2.7. If ultimately the complaint is resolved by accepting a claim and its settlement, the same will be recovered from the incentive of the BM, Regional Head and in the percentage of 100 & 5 respectively of the claim amount. Where ever, the branch manager is a head and there is no regional head, these percentages will be 100, 8 and 2 respectively. This recovery is apart from any other disciplinary action that the company may take against the concerned employee/s
- 2.8. The management at its sole discretion can change the ratios of recovery, if circumstances so warrant.