

INVESTOR GRIEVANCE POLICY

Purpose: The objective of this investor grievance policy is to establish a transparent and efficient framework for handling and resolving investor grievances in a fair and timely manner. The policy will be guided by the principles of prompt acknowledgement, diligent investigation, effective resolution, and comprehensive communication to affected investors.

Scope: This policy applies to all activities carried out by S P JAIN SECURITIES PVT. LTD. as a Stock Broker, Depository Participant and is bounded by the rules of which we are affiliated member(s), including but not limited to:

- Receiving and acknowledging investor complaints and grievances.
- Investigating and resolving complaints and grievances in a fair and impartial manner.
- Maintaining records of all investor complaints and the actions taken to address them.
- Reporting investor grievances to regulatory authorities, as required.

Grievance Handling Procedure To achieve the objectives of this policy, the following procedure will be followed for handling investor grievances:

Designated Officer:

The Compliance Officer shall be the designated officer responsible for overseeing the investor grievance redressal process.

Communication Channels and Acknowledgment:

Investors can submit grievances through the following channels:

- Email: support@spjainsec.com
- Helpline: 022-66314108/09, 9322219149, 9821032000

For, those who wish to register their complaints by Physical or Courier mode please reach us on at register office address.

We ensure that all complaints and grievance request is acknowledged in writing within stipulated time.

Investor must lodge Clear and complete grievance with all the relevant proof.

Timely Resolution:

Every effort will be made to resolve grievances within 10 working days from the date of acknowledgment, though some grievances, depending on the gravity, may take longer to resolve.

Escalation Mechanism:

If the investor is dissatisfied with the resolution, they can escalate the matter to Compliance Officer at spjainsec@yahoo.co.in, in giving reference to their earlier mail. The complaint will be analysed and every effort will be made to resolve at the earliest.

If the issue cannot be resolved by the Compliance Officer, the same will be escalated to the Senior Management.

Transparency:

Investors will receive regular updates on the status of their grievances at various stages of the resolution process.

Documentation:

All grievances, actions taken, and resolutions provided will be documented and maintained in a secure and confidential manner.

Confidentiality:

Investor information will be treated with the utmost confidentiality, and only authorized personnel will have access to grievance-related data.

Training and Awareness:

Conducting regular training sessions for employees to enhance their understanding of investor grievance handling processes and regulatory requirements. Creating awareness among employees about the importance of promptly and effectively responding to investor grievances.

Encouraging employees to report any potential breaches or irregularities related to investor grievances through internal system.

Compliance:

This policy complies with all relevant regulations and guidelines set forth by Regulatory, Exchange(s), and Depository.

Record Keeping:

A robust record-keeping system will be maintained to analyse trends, identify areas for improvement, and enhance the overall grievance redressal process.

Communication of Policy:

This policy is made available on our website www.spjainsec.com

Review and Revision:

This policy will be reviewed periodically to ensure its effectiveness and relevance. Any necessary revisions will be made to align with changing regulatory requirements or internal processes.

This Investor Grievance Redressal Policy is designed to uphold the principles of fairness, transparency, and accountability in addressing investor concerns.