

M/s Stratagem Stock Broker Private Limited

Reg. Off. 222, 1st Floor Subhash Nagar, Rohtak – 124001
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INVESTOR GRIEVANCE HANDLING MECHANISM

1. Handling of all investor grievances for the Company's Broking activities is a centralized function and is being handled by Compliance department at corporate office.
2. Under the SEBI directive a designated e-mail id has been created namely sprintspl@gmail.com and the same has been displayed on our website **N.A.** , This e-mail id would be Monitored by compliance department on daily basis.
3. All Investor Grievances (hard copy or soft copy) that are received at the branches and offices of the authorized persons should after incorporating their comments / remarks if any, be forwarded within 2 working days of the receipt of the complaint to the Compliance Department at corporate office for further action.
4. All the Investor Grievances received at the registered office (222,1st Floor, Subhash Nagar, Rohtak-124001)and those complaints forwarded by the branches and or APs shall be verified and scrutinize by the compliance department and it would initiate necessary steps to resolve the complaint within 1 -2 working days of the receipt of the complaint.
5. All the investor grievances would be handled in the following manner by the compliance department namely;
 - a. All the investor grievances (hard copy or softcopy) would be updated in Investor Grievance Register on the same day of the receipt of the complaint. This register would be monitored by the compliance officer.
 - b. After verification and scrutiny the appropriate steps would be initiated to resolve the complaint at the earliest.
 - c. A monthly MIS of the complaints received, pending and or resolved would be given to the CEO and designated Directors of the Company.
 - d. Any course of action which involves the concerned department at Head office, it would be informed to the concerned head of the department and Business team. Likewise, if the course of action which involves branch / AP, business team at the corporate office would be informed/updated.
 - e. If there is no response from concerned department or the branch and or associate within 3 working days of the complaint, the same would be escalated to Head Compliance for immediate action and if there is no response within 5 working days the same would be reported to the Designated Director.

- f. All investor grievances should be resolved within time period of 15 days of the receipt of the complaint to the department.
6. In case there are more than 3 complaints received during a month from the same Branch / AP, Compliance Officer, would seek detailed explanation from the branch manager / AP and review systems and procedures of the branch.
7. All the branches and APs shall maintain an investor grievance register as in the format specified as Annexure1, this register would be subject to audit during the periodic inspection of Branch / AP.
8. The compliance officer would ensure the regular updation and sign-off after resolution of each complaint.

For Stratagem Stock Broker (P) Ltd.

(Compliance Officer)