

INVESTOR GRIEVANCE REDRESSAL POLICIES OF OUR ORGANIZATION

1. Introduction

Customer complaints are part of the business life of any corporate entity. This is more so for Trading Members because Trading Members are service organizations. Our organisation has come up with a lot of initiatives that are oriented to providing a better complaints redressal mechanism with a view to "Out serve" our clients.

2. Reporting & Recording of complains

Our Organisation's policy, on grievance redressal has been formulated taking into account the following:

- ❖ Our Clients, who have any grievances about the services provided by our organisation, can make complain to our "**Compliance Officer - Mr. Ritesh Jain**"
- ❖ Clients who wish to provide feedback or send in their complaint can use the following channels available with us.
 - Call our "Compliance Officer - Mr. Ritesh Jain" on the following phone numbers.
Ph: (033) 4019 4115 (Direct), 4019-4100 / 109
M: 9831418934
OR,
 - Email us at - "ccare@manustock.in"
"riteshjain_1999@yahoo.com"
OR,
 - Send letter to us at - "21, Hemanta Basu Sarani,
2nd Floor, Suite No. 201-202"
Kolkata - 700001."
OR,
 - May also make "Personal Representation"
- ❖ Clients are informed about the resources for redressal of investor grievances through the following. The Name, Contact Numbers & E-mail ID of our Compliance Officer for any grievance / dispute is



- Printed in the "Registration Kit" of the Clients.
- Printed in the "Contract Notes" sent to the clients.

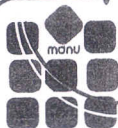
- ❖ A "Register of Complains" is maintained at the registered office of the organisation wherein all complains received from the clients "whether through letter, email, personal representation or telephonic calls" are duly recorded and updated.

3. Handling of Complains

- ❖ Our employees / officers work in good faith and without prejudice to the interests of the clients. In order to make our redressal mechanism more meaningful and effective, a structured system has been built. This system would ensure that the redressal sought is just and fair and is within the given frame-work of rules and regulation. All the employees / officers are aware of the Complaint handling process.
- ❖ Our Compliance officer **Mr. Ritesh Jain** is entrusted with the responsibility of regularly monitoring the "Register of Complains" and the e-mail logs to verify whether any complain has been received, if yes, then whether it is properly recorded in the "Register of Complains" and also look after the steps taken to resolve the dispute.
- ❖ Complaints raised by customers are dealt with courtesy and on time.
- ❖ If the applicant/client is not satisfied with the response that he receives or if he does not hear from the Company, there is an escalated complaint handling mechanism for Clients and the Client could raise the issue with a Compliance Officer of our organisation.
- ❖ Customers are fully informed of avenues to escalate their complaints/grievances within the organization and their rights to alternative remedy, if they are not fully satisfied with the response to their complaints.

4. Resolving the Complains

- ❖ The customers can highlight their complaints / issues with us vide the channels mentioned earlier in the policy. The officer with whom the client has raised the issue is responsible for the resolution of complaints/grievances.
- ❖ The Compliance Officer can also be contacted by the customers for lodging their complaints.



- ❖ The officers of the complaints redressal unit will ensure closure of all complaints to the customers' satisfaction.
- ❖ They will ensure that the complaint is escalated to the appropriate levels in case it is not possible to resolve at his/her level. Whilst the ultimate endeavor is to ensure we reach a situation where our client is satisfied.
- ❖ We have put in a robust mechanism to handle these complaints, review them from a point of view of understanding reasons for the complaint and for the escalation and working on prevention of recurrence thereof.

5. Time frame

- ❖ To register complaints, customers can use any of the channels mentioned above (refer point 2)
- ❖ If the complaint has been received in writing, we will endeavor to send an acknowledgement / response within a week. After the matter is examined a final response will be sent to the client or information that more time is required and we will endeavor to do so within 30 days of receipt of complaint.
- ❖ The communication of our stand on any issue will be provided to the clients. If the Complaints that require some time for examination of issues involved will be acknowledged promptly.
- ❖ The aforesaid policy will be revised as and when there are any new changes incorporated by the exchanges in handling complaints / grievances of the clients which includes introduction of new grievance channels, if any. Further, the policy will be reviewed every year during the first quarter of the respective year.

6. Interaction with customers

- ❖ We through various meetings obtains customer feedback / suggestions for improvement in customer service and ensure that contract notes, trade confirmations, Margin Statements & other documents send by us are duly received by the client.

All the officers / employees of the organisation are educated on our Complaint Redressal Mechanism. We are confident that with an open mind and a smile on the face we should be able to win our client's confidence.

MANU STOCK BROKING PVT LTD

21, HEMANTA BASU SARANI, 2ND FLOOR, SUITE NO. 201-202, KOLKATA - 700001

Grievance Redressal Form

Date _____ :

Complain Reference No.: _____

1) Name of the Client / Complainant	
2) UCC Code of the Client	
3) Address of the Client	
4) Email of the Client	
5) Nature of Complain	
Signature of the Receiving Official	Signature of the Complainant
	Date : Place :

Manu Stock Broking (P) Ltd

R. Singh

Director (Admin. & Compliance)