

We believe investor grievance redressal as an important function in the entire process and shall seek to meticulously resolve the same to the fullest satisfaction of the investors as well as the regulators. One point contact has been provided where all investor complaints whether directly received or through any of our employee shall be directed to Mr. Vijay Shah (Compliance Officer) (vijay.shah@keynoteindia.net). We are maintaining complaints register at Head Office / main office place as well as all branches. Investor can send in their grievances either through email or post. We are Verifying the investor grievance register and designated email id for the same on daily basis. On receipt of any complaint, our designated Compliance Officer contacts the Client, if possible meets the Client personally and tries to sort out the issue immediately.

Investor Grievance Handling Mechanism related to Unauthorized Trades :-

- After the initial response we shall check the following things:-
 - i. Client-Dealer recording for the trades in question
 - ii. Delivery of contract notes (ECN/Physical)
 - iii. Client's Party Ledger for outstanding dues, Open Position in the market
- In the event if the trades are authorized/Genuine after reviewing records, a mail shall be sent to the client with CC to respective branch id.
- In the event if the trades are unauthorized after reviewing records, a mail shall be sent to respective Branch Head & respective Regional Head.
- The respective Branch Head shall have to revert within 24 hours after receiving the mail.
- In case, if there is no response from the Branch Head in the stipulated time, an escalation mail shall be sent to the respective Regional Head with a response time of 24 hours.
- After all these exercises, the trades in dispute shall be reversed or transferred to Error A/c of our Company and the Client shall be compensated with all losses as applicable.

Investor Grievance Handling Mechanism related to Non Receipt of Funds / Securities :

- After the initial response we shall check the following things:- i) Communication Log with the Client ii) Client's Ledger for outstanding dues, Open Position in the market & Margin available.
- In the event if everything is proper we shall make payment through NEFT/RTGS or transfer the share in the Clients Demat account immediately.
- In the event if there is short fall of margin due to open position in the market or dues are outstanding/receivable from the Client, we shall clarify the same to the Client & short out the matter with the Client immediately.
- After all these exercises, the Funds/Securities shall be transferred to the Client's A/c.

Mr. Vijay Shah shall have 4 working days to revert and resolve all routine matters and 5 working days to revert and resolve all non routine matters from the date of receipt. In case Mr. Vijay Shah fails to resolve the complaint within the prescribed time he shall immediately report the matter to the Managing Director/CEO - Mr. Rakesh Choudhari who shall immediately take steps to resolve the same. Further, Mr. Vijay Shah shall send a monthly MIS for all investor grievances received and as to how the same has been addressed to the Managing Director/CEO.