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Baljit Securities Private Limited

Policy on Investor Grievance Redressal Mechanism

Policy created by	Compliance Team
Policy reviewed by	Principal Officer
Policy reviewed on	31 st Dec, 2023
Policy Approved by	Board of Directors
Policy approved on	4 th Jan, 2024

Version - 1.2

1. Purpose

Our organization is dedicated to addressing all complaints related to service deficiencies or causes for grievance in a timely and effective manner. Recognizing that prompt and efficient resolution of client and investor grievances is crucial for providing excellent service, we have established a clearly documented policy for redressing investor grievances. Through this policy, we aim to ensure the existence of a suitable mechanism for receiving and addressing complaints, with a specific emphasis on resolving grievances fairly and expeditiously.

This policy seeks to ensure that:

- ✓ Grievances, if any, are resolved in a proper and time-bound manner, providing detailed advice to the client or investor. In cases where resolution requires additional time, an interim response acknowledging the grievance or complaint will be issued.
- ✓ The Compliance Officer will provide a monthly report on client grievances to the Directors of the company, including details such as the client's name and account number, nature of the complaint, date of receipt, and the status of resolution. Grievances unresolved for more than 21 days will be justified by the Compliance Officer.
- ✓ Proper records of all received and resolved grievances will be maintained by the Compliance Officer.
- ✓ All personnel and employees at customer-facing channels and other support departments will undergo periodic training in handling client complaints.
- ✓ The Grievance Redressal Mechanism along with updated contact details and email IDs, will be provided to clients and uploaded on the company's website.
- ✓ Clients shall be treated fairly at all times.
- ✓ Clients shall be informed of avenues to raise their queries and complaints within the organization, and their rights if they are not satisfied with the resolution of their complaints.
- ✓ Queries and Complaints shall be treated efficiently and fairly.
- ✓ The employees of our organization shall work in good faith and without prejudice, towards the interests of the Clients.

2. Awareness of the Grievance Redressal Mechanism

- ✓ Client queries/ complaints arise due to lack of understanding or a deficiency of service experienced by Clients. Deficiency of service may include lack of explanation, clarifications, understanding which escalates into shortfalls in the expected delivery standards, either due to inadequacy of facilities available or through the attitude of staff towards Clients.
- ✓ Clients can seek clarification to their query and are further entitled to make a complaint in writing, orally or telephonically.
- ✓ All queries/ complaints received shall be handled & coordinated by Investor Grievance Officer and shall inform the Client on the status of the Client query.
- ✓ In case Clients do not receive a response within 21 working days of approaching us or if they are not satisfied with the resolution received from the Company, they can escalate their issues to respective Stock Exchange / Depository.

- ✓ Clients can also escalate their issues to Securities and Exchange Board of India (SEBI) and update their complaints on SCORES (SEBI Complaints Redress System). SCORES allows the client to lodge his complaint online with SEBI and subsequently view its status at <http://scores.gov.in> and can obtain any feedback, assistance on contacting SEBI Office on Toll Free Helpline at 1800 22 7575/ 1800 266 7575.
- ✓ Clients can also escalate their issues Online Dispute Resolution (ODR) portal that provides an efficient and convenient avenue for clients to address grievances. To initiate the ODR process, a client typically begins by accessing the designated online platform established by the service provider or organization. Here, the client can submit details about their grievance, attaching relevant documents or evidence to support their case. This online environment facilitates a transparent and accessible dispute resolution process, enabling clients to track the progress of their case in real-time. Ultimately, ODR empowers clients by providing them with a user-friendly and technologically-driven means to resolve grievances swiftly and fairly.

Communication can be done through the following sources -

Clients are requested to approach the Investor Grievance Officer

- ✓ Clients can call the Investor Grievance Officer on 033-40511199 any working day between 10.00 am & 6.00 pm to provide feedback & register their queries / complaints.
- ✓ Clients can send an email to response@baljitgroup.com.
- ✓ Clients can write a letter to us with their query/complaint at the registered office address.
- ✓ Clients can also write to us by accessing the website - www.baljitsecurities.com

Contact details at Stock Exchange/ Depository:

NAME OF STOCK EXCHANGE/ DEPOSITORY	WEB ADDRESS	CONTACT TELEPHONE NOS.	CONTACT TELEPHONE NOS.
NATIONAL STOCK EXCHANGE OF INDIA LTD	www.nseindia.com	(91 22) 2272 8517 / 8097	is@bseindia.com
BOMBAY STOCK EXCHANGE LTD	www.bseindia.com	(91 22) 2659 8190 / 91	ignse@nse.co.in
MULTI COMMODITY STOCK EXCHANGE OF INDIA	www.mcxindia.com	(91 22) 6649 4070	grievance@mcxindia.com
CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED	www.cdslindia.com	1800-200-5533	complaints@cdslindia.com
NATIONAL SECURITIES DEPOSITORY LIMITED	www.nsdl.co.in	(91 22) 2499 4200	relations@nsdl.co.in

Contact details at Securities & Exchange Board of India:

Addresses of SEBI Offices	Contact Telephone Nos.	Contact E-Mail Id
SEBI - HEAD OFFICE: SEBI BHAVAN, PLOT NO. C4 - A, "G" BLOCK, BANDRA KURLA COMPLEX, BANDRA EAST,	(91 22) 2644 9200 (91 22) 2644 9000	iggc@sebi.gov.in sebi@sebi.gov.in

MUMBAI - 400 051	4045 9000	sundaresanvs@sebi.gov.in
SEBI - NORTHERN REGIONAL OFFICE: 5TH FLOOR, BANK OF BARODA BUILDING, 16, SANSAD MARG, NEW DELHI - 110 001	(91 11) 2345 6085 (91 11) 2372 4001 - 05	sebinro@sebi.gov.in narendrar@sebi.gov.in
SEBI - EASTERN REGIONAL OFFICE: L&T CHAMBERS, 3RD FLOOR 16, CAMAC STREET KOLKATA - 700 017	(91 33) 2302 3110 (91 33) 2302 3000	sebiero@sebi.gov.in amarn@sebi.gov.in
SEBI - SOUTHERN REGIONAL OFFICE: OVERSEAS TOWER, 7TH FLOOR, 756-L ANNA SALAI, CHENNAI - 600002	(91 44) 2888 0105 (91 44) 2888 0222 (91 44) 2852 6686	sebisro@sebi.gov.in manjeshsr@sebi.gov.in
SEBI - WESTERN REGIONAL OFFICE: UNIT NO. 002, GROUND FLOOR SAKAR I, NEAR GANDHIGRAM RAILWAY STATION, OPP. NEHRU BRIDGE ASHRAM ROAD, AHMEDABAD - 380 009	(91 79) 2658 7108 (91 79) 2658 3633 - 35	sebiwro@sebi.gov.in sudeepm@sebi.gov.in

3. Internal Mechanism to handle Client Queries / Complaints

- ✓ Register of Complaints shall be centrally maintained; however, all the Branches are required to maintain Grievance Register at the Branch Level for registration of Client Grievances.
- ✓ All the clients shall be informed about the e-mail for redressal of Client Grievance.
 - Through Welcome Letter at the time of Opening the Trading Account.
 - Display on official Web-Site.
 - Display on the Notice Board of the Head & Branch Offices.

4. Educating Staff on Handling Complaints (Training):

The Grievance Redressal Team is specially trained for handling queries/ complaints. Training includes both operations and soft skills, as different clients perceive and react differently to the aspects of complaint handling. The staff is encouraged to have an open attitude towards service recovery and winning the clients' confidence.

5. Reporting of Queries / Complaints:

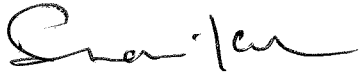
On a monthly basis queries/ complaint with the resolution shall be informed to the Exchange and Depository in the specified format as mandated.

6. Record Maintenance:

- ✓ Investor Grievance Officer of the Grievance Redressal Team shall be responsible for the record maintenance of such activities, under the supervision of The Compliance Officer.
- ✓ The Compliance Officer shall be assisted by the Investor Grievance Officer and shall have the discretion to take assistance/help from any professionals and/or software for the better monitoring and implementation of Grievance Redressal Policy, with prior approval of the Board of Directors, without diluting the accountability and responsibility of the Compliance Officer.

Change in the Policy will be adopted as and when required by the company and is binding on all the Staff/Employees/and Directors of the Company.

For M/s. BALJIT SECURITIES PRIVATE LIMITED,



Shashi Kant Bubna

Director