



Harendra D. Mehta Share & Stock Broker Pvt. Ltd.

MEMBER > NSE Equity Segment > BSE Equity Segment

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CIN : U67120MH1997PTC110950 • GSTIN : 27AAACH2890J1ZE

INVESTOR GRIEVANCE POLICY

- The register of complaints is maintained at the head office under the observation and control of the director.
- The register has to have the following details: The date of receipt of complaint, Name of the client, UCC, nature of complain, name and designation of all the people who attended the complaint, the final solution to the complaint, status of complaint, date of solving complaint, signature of the director authorizing the said details as true and correct.
- Whenever any complain is received through email, post, SMS or by any media, the same has to be updated immediately in the Register of complaint.
- On receipt of any complain, the same will be first looked into by senior staff of that particular department. If the same cannot be redressed then by the compliance officer / senior staff. If the same still remains unsolved then the director shall take up the same and solve the complaint.
- For administrative convenience senior employee / compliance officer is responsible to see that there are no investor grievances pending. The director will only overlook the same.
- If there are no complains, the Director will still review the register monthly and close it as no complaints received.
- All the clients are to be informed that in case of any grievance they have an option of writing the same in the Investor Grievance Register maintained at the office or can report the grievance through email, SMS, letter or can meet the director to discuss any point of observation as may be required.
- The e-mail id for redressal of investor grievances is hdm264@gmail.com and the same is informed to the clients through KYC and Contract notes.

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FOR HARENDRA D. MEHTA SHARE &
STOCK BROKER PVT. LTD.


DIRECTOR

