NORTHEAST BROKING SERVICES LTD.



## NVESTORS GRIEVANCE REDRESSAL MECHANISM

- 1. We have provided exclusive email id on own website, specifically for registering investor complaints, (IG email id: <u>north@nettlinx.org</u>, <u>Phone no:040-66918862</u>) and the same is informed to the investors/clients in all client correspondence and the same is displayed at H.O/Branches/AP offices.
- 2. Register of complaints are also maintained at all branches including HO.
- 3. Telephonic, personal represented complaints are resolved within a day, if the grievance is not resolved, clients are suitably suggested to email the grievance or send the complaint letters directly to HO, with all relevant documents.

All branches clients are informed that, if they lodge their complaints at branch level, a copy of the same should be forwarded to HO for information and early redressal of the complaint.

- 4. Complaints received directly at HO, are properly recorded at HO in investor grievance register and unique running serial number will be allotted, under the control of Compliance Officer and further suitable remedial actions are taken immediately, viz., The matter/facts will be looked into and replied to client within 7 days and maximum within one month along with necessary proofs if required.
- 5. Continuous / periodic reviews are made with the departments concerned to resolve the pending complaints at the earliest possible. The compliance Department ensures that the complaint are resolved within one month and if there is no further queries/ clarifications from client within one month, the matter will be treated as resolved and closed and registers will be updated.
- 6. If any complaints that are not resolved within a month at compliance officer level, the matter would be brought to the notice of Executive Director (ED) for necessary action and weekly report is submitted to ED for complaints not resolved if any.
- 7. The board reviews the complaints on quarterly basis. If any complaints are not resolved, the board looks in to the matter for speedy remedial action to be taken to resolve the matter. Also the same will be informed to the exchanges /depositories if required.

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