

Oswal Shares & Securities Ltd.

605,Sakar-I, Opp.Nehrubridge, Ashram Road, Ahmedabad - 380009

INVESTOR COMPLAINT REDRESSAL MECHANISM

1. The company has a designated investor grievances email id grievances@oswalshares.com on which the client or investor can make a complaint.
2. An Investor / client can make a written complaint through letter also.
3. The Company maintains investor grievance register in which full detail of every written complaint shall entered.
4. Designated person shall login the designated investor grievances email id on daily basis to look after the investor complaint whether new complaint has been lodged or not.
5. The full detail of the written complaint must be passed to the concerned department and inform the compliance officer of the company as soon as it is received.
6. A letter or mail must be written to all the investor who have submitted written complaints by the designated person or Compliance Officer acknowledging receipt of the complaint and informing them it will be dealt with.
7. Compliance Department will obtain all information available on the complaint which is considered necessary for a proper investigation. Look into all the necessary information and resolve the as soon as possible.
8. There is standing policy of the company to resolve the investor complaint within seven days of the receipt of the same expect the complicated case.
9. A serious complaint (where the written response does not settle the issue) must be referred to the director of the company.
10. The Compliance Officer of the Company shall review the investor complaint register on weekly basis to find out whether complaint has been resolved within time or not.