

Detailed write up on procedure for filing a complaint on designated email id/phone number.

(A) How to File Investor Complaints:

Step-by-Step Guide- Write up for filling complaints with us and its escalation.

At OSWAL SHARES & SECURITIES LTD, your satisfaction and trust in your investment journey are paramount to us. Should you encounter any concerns or issues, we've streamlined the process for filing complaints and seeking resolutions. Follow these steps to file an investor complaint:

Step 1: Contact Our Compliance Officer

If any aspect of your investment raises questions, begin by reaching out to our dedicated compliance officer. You can find their contact details on our website. They're here to provide guidance and support in resolving your concern.

Step 2: Use Our Investor Grievance Email ID

In case, your concern persists after contacting our compliance officer, utilize our dedicated Investor Grievance Email ID: **grievances@oswalshares.com**. When drafting your email, ensure to include the following:

A clear and concise description of the issue.

Relevant transaction dates, amounts, and account information.

Any supporting documents in support of your claim.

Step 3: Wait for Response

After sending your complaint via email, expect an acknowledgment of receipt within 48 hours. We will conduct a thorough review of your concern and respond with a resolution or action plan within 7 business days.

Step 4 : Ticket Reference Number: Kindly note that your subject line is your Ticket Reference No.

Step 5 : If you are not satisfied with resolution of compliance, you may refer Grievance Escalation Matrix <http://www.oswalshares.com/contact.php>

B) FINDING OUT STATUS OF THE COMPLAINT

Detailed write up on procedure for finding out status of the complaint basis Ticket Number etc.

Efficient Tracking of Complaint Status via Email Trail

At OSWAL SHARES & SECURITIES LTD, we understand the importance of efficient complaint resolution. To ensure a streamlined process and easy tracking for our clients, we have implemented an email-based redressal system that utilizes the subject line of your email as the Ticket Reference Number. This allows you to receive responses and track the status of your complaint directly in the email thread.

Here's how it works:

Step 1: Compose Your Initial Email

When submitting a complaint via email, simply use a relevant and concise subject line that accurately describes the issue. This subject line will automatically become your unique Ticket Reference Number. You are required to attach supporting's, if any, as email attachment.

Step 2: Receive Confirmation Email

Upon receiving your initial email, our team will respond with confirmation email within 48 hours to acknowledge your complaint. The subject line of your original email will your Ticket Reference Number, which is essentially your complaint's unique identifier.

Step 3: Use the Email Thread for Communication

For any further communication related to the same complaint, simply reply to the confirmation email. Your response will automatically be linked to the existing email thread, allowing our team to understand the context and respond accordingly.

Step 4: Track Status via Email Thread

As our customer support team works on resolving your complaint, all updates, responses, and actions taken will be communicated within the same email thread. This consolidated approach ensures that you can easily track the entire history and progress of your complaint in one place.

Step 5: Get Informed via Email

Each time our team responds, you will receive an email notification with the updated information. This way, you stay informed about the status of your complaint without needing to check a separate platform.

Step 6: Closure and Final Update

Once the matter is resolved or concluded, you will receive a final email notification outlining the resolution. This email will also be part of the same email thread, allowing you to easily understand how the issue was addressed.

Conclusion

Our email-based redressal system, which uses the subject line as the Ticket Reference Number, ensures that you can efficiently track the status of your complaint directly within your email account. By maintaining a consolidated email thread, you can easily review the entire communication history and understand the journey of your complaint. We believe in transparency and effective communication, and this system is designed to empower you with accurate and real-time updates on your complaint status. If you have any questions or need further assistance, please don't hesitate to reach out to our dedicated customer support team. Your satisfaction is our priority.