



# J. L. SHAH SECURITIES PVT. LTD.

CIN NO – U67120MH19997PTC109555

MEMBER: BOMBAY STOCK EXCHANGE LTD. (SEBI REG. NO. INB010977734)

MEMBER: NATIONAL STOCK EXCHANGE OF INDIA LTD. (SEBI REG. NO. INB230977739/INF230977739)

MEMBER: CENTRAL DEPOSITORY SERVICES (INDIA) LTD. (SEBI REGN. NO. IN-DP-CDSL-467-2008)



## **Policy on Redressal Mechanism for Investor Grievance**

- A register of complaints shall be maintained at the head office in accordance to the rules, regulations, Bye laws and directives of the Exchanges/SEBI stating complete detail of complaint including date, name, nature of complaint, etc.
- An email id shall be exclusively designated for reporting complaints/grievances by the investors for reporting complaint electronically. The said email-id shall be informed to all investors and also displayed on the official website of the company. The designated email-id shall be printed on various stationary including account opening form and contract notes etc. We have created the email id [bsecomplaint@jlshah.co.in](mailto:bsecomplaint@jlshah.co.in) for BSE, email id [nsecomplaint@jlshah.co.in](mailto:nsecomplaint@jlshah.co.in) and email id [cdslcomplaint@jlshah.co.in](mailto:cdslcomplaint@jlshah.co.in) for CDSL complaint.
- All the complaints registered with SEBI/NSE/BSE and/or received directly from investors shall be recorded in complaint register with status and other details including the mode of communication (e.g. verbally, telephonically, electronically and physically).
- The investor grievance redressal team will monitor and redress the investor's complaint in supervision of Compliance officer. The board of directors of the Company shall also review the status of the grievances periodically.
- It will be the duty of grievance redressal team of the company to ensure that the complaints received from investors are redressed earliest and without delay. The board of directors also periodically monitors the status of pending complaints and duration of pendency. In cases wherein there is a delay in redressal whatever the reasons are, suitable instructions shall be given, which includes assistance from the legal consultants and other agencies to ensure the redressal earliest. The company has set a target period of maximum 30 days for redressal of any complainant provided the matter is not sub-judiced before any court of law.
- The Company shall regularly monitor the complaints and suitable steps/actions shall be taken against the branches, employees, subbrokers etc. from where maximum complaints are received/ shall be received. The analysis of nature of complaints helps the management to strengthen the systems further and to put in place necessary additional checks.

Regd. Off.: Unit No 510, Hubtown Solaris, N.S. Phadke Marg, Andheri (E), Mumbai-400069

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