

INDUS PORTFOLIO PRIVATE LIMITED

INVESTOR GRIEVANCE POLICY

1. Handling of all Investor Grievances for the Company's Broking and DP activities is a centralized function and is being handled by compliance department at corporate office.
2. Under the SEBI directive a designated e-mail id has been created namely crm@indusinvest.com and the same is displayed on the Company's website www.indusinvest.com. This e-mail id is monitored by compliance department on daily basis. In addition the crm@indusinvest.com is also published in the KYC /account opening form and the Contract Notes.
3. All Investor Grievances (hard copy or soft copy) that are received at the branches and offices of the sub-brokers, remisiers and authorized persons (herein after referred as "associates") should after incorporating their comments/remarks if any, forward within 2 working days of the receipt of the complaint to the Compliance Department at corporate office for further action.
4. All the Investor Grievances received at the crm@indusinvest.com and those complaints forwarded by the branches and or associates would be verified and scrutinized by the compliance department and it would initiate necessary steps to resolve the complaint within 20 working days of the receipt of the complaint.
5. All complaints must be acknowledged on receipt by sending an e-mail acknowledged.
6. Compliance Department would obtain comments from head of the concerned department/branch and or associate.
7. If there is no response from concerned Department/Branch and or Associate within 3 working days of the complaint, the same would be escalated to Head Compliance for immediate action and if there is no response within 5 working days the same would be reported to the Designated Director as in the form of an MIS reporting.
8. All investor grievances must be resolved within time period of 30 days of the date of receipt of the complaint.
9. More than 3 complaints received during a month from the same Branch (number of complaints is subject to review depending upon the market conditions and volumes generated by the Branches and or Associates). Compliance Department escalates the matter to Manager level and Director for advisory to the Branch.

10. Compliance Department would maintain an investor grievance register as in the format specified as Annexure-1, this register would be subject to audit and inspection by the compliance officer of the Company.
11. All the investor grievances would be handled in the following manner by the compliance department.
 - a. All the investor grievances (hard copy or soft copy) would be registered in an excel register (soft copy) as in the form specified in Annexure-2 on the same day of the receipt of the complaint. This register would be monitored by the Compliance Officer.
 - b. After verification and scrutiny the appropriate steps would be initiated to resolve the complaint at the earliest.
 - c. A monthly MIS of the complaints received, pending and or resolved would be given to the Designated Director of the Company.
 - d. As per the Exchange Depository/SEBI directives the complaint register has to be maintained in hard copy function wise i.e., Broking complaint register, DP complaint register etc.
 - e. Therefore, compliance department will ensure that depending upon the type of the complaint, all the information i.e., from the receipt of the complaint till the status of being resolved would be updated in the register stated in point 11d.
11. The compliance officer would ensure that it gives its sign-off only after the complaint is resolved.



