

INVESTOR GRIEVANCE REDRESSAL PROCESS

Objective

The objective of the policy is to redress the Investor Grievances, in a time bound and speedy way to the satisfaction of the clients.

Policy

Where the Client has got any grievances, at branch level or HO level, he/she should first promptly notify the same to the Compliance Officer of our company in writing so as to reach our office or through email to our Investor Grievance Cell stating the nature and value (if any) of the grievance along with the relevant supporting documents. All the Grievances are time bound and the clients should strictly adhere to such limitation of time.

The Grievances should reach:

Compliance Officer: - Mr. MAGAN H. HANDA

Email Id : compliance@anspl.net

Investor grievances designated e mail ID : complaint@mail.ansplshares.com

Phone No: 0281 6699300

After examining the grievance, the same would be recorded by the compliance team and the compliance officer will address the same. Internally the grievance will be informed to the concerned department. The Head(s) of the Department along with staff members will examine the grievance and report the matter to the Compliance Officer within in One week, who in turn will redress the grievance within a maximum period of 30 days from the date of receipt of the grievance. After recording the grievance and action taken in the register, the Management will review the status of all the unresolved grievances if any periodically.

The grievances are monitored centrally from Head Office and any Complaints received at Branches or Sub Brokers or Authorized Persons should be intimated to the Compliance Officer Maximum within seven days from the receipt, along with its explanation and supporting documents, The same will be addressed by the Compliance Officer, As per the Rules, Regulations and Bye Laws of the Exchanges, SEBI, Various Regulators and our own Policies and procedures.

As an ongoing process the compliance department will at random be in touch with the clients directly and take confirmation and feedback from the clients, on matters relating to transactions and activities at Branch level and dealer level.

In case of concentration of complaints or if serious lapses/fraud is noticed from the review of complaints received from a specific Branch/Sub Broker/Authorized person, The RMS and Compliance team will closely Monitor the transactions and activities of such a location and any deviations observed will be Intimated to the Compliance Officer, The Compliance Officer along with the management team would investigate and take appropriate action including that of terminating the appropriate persons and taking all such necessary action as required by the statute.

All the complaints received directly by SEBI/Exchanges/any other Regulatory will be recorded in the Investor Grievances register and will be resolved in the time frame as per the statute time.

All the grievances which are serious in nature will be put before the Board of Directors.

The nature and the speedy disposal of the grievances are monitored by the compliance officer and will be reported to the Regulatory, where ever required.

If not satisfied with the resolution of the Resolution of the Grievances, the client may approach the concerned Stock Exchange(s) at the following:

	Web Address	Contact No.	Email Id
BSE	www.bseindia.com	022-22728517	dis@bseindia.com
NSE	www.nseindia.com	1800-266-0058	ignse@nseindia.co.in
MCX	www.mcxindia.com	022-67318888	iscmum@mcxindia.com
NCDEX	www.ncdex.com	022-66406789	ig@ncdex.com
DP	www.cdslindia.com	1800-22-5533	complaints@cdslindia.com

After approaching us and the Exchanges, if client is not satisfied he/she can lodge the grievances with SEBI at <http://scores.gov.in>. Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

Review Policy

This policy may be reviewed as and when there are any changes introduced by any statutory authority or as and when it is found necessary to change the policy due to business needs.

The policy may be reviewed by the Director/Compliance Officer and place the changes in policy before the Board at the meeting.

Approval Authority

This Policy was placed before the board approved.