

## **Filing a complaint by client/Investor**

### **OBJECTIVE**

The objective of the policy is to address the grievances of the customers. One of the core value of our company is “Customer first” and we ensure that customers are satisfied with the services rendered by us. This policy has been formulated in order to ensure that grievances of the customers are effectively & timely redressed.

### **POLICY**

The company has a separately designated investor grievances email id [grievances@abiragroup.in](mailto:grievances@abiragroup.in) on which the client or investor can lodge a complaint. The designated email-id is displayed on the website of the Company [www.abiragroup.in](http://www.abiragroup.in) and printed prominently on the Notice Boards displayed at the Branch and Authorised Person’s office, printed on various KYC forms contract notes, holding statements and other communications sent to Clients. The company has Compliance Department at its corporate office with requisite staff strength headed by the Compliance Officer.

### **RECEIPT OF COMPLAIN**

**ABIRA SECURITIES** can receive client complaint either directly from client - in any of the modes viz physical letters, fax, e-mail, phone and personal visit to any of other offices including AP Office. Further, clients’ complaints are also received through SCORES, Regulatory authorities, Advocates, Consumer forums etc. Handling of all investor grievances is a centralized function and is being handled by Compliance Department at the Corporate office of the company.

### **RECORDING OF COMPLAIN**

A Register of Complaint is maintained in accordance with the rules, regulations, Bye laws and directives of the Exchanges/SEBI stating complete detail of complaints including name of originating branch, authorized person etc. All the Investors complaints are recorded immediately in Investor Grievance Register maintained separately for each Exchange and Depository. The Complaint received either physically or electronically by email shall be filed serially. The Compliance Officer will be responsible for receiving and recording all the Investor complaint.

## **HANDLING OF COMPLAINT**

It will be the duty of Compliance Officer to ensure that the complaints received from investors are redressed earliest and without delay. All the Investor Grievances received are verified and scrutinized by the compliance department. On receipt of the complaint, the Compliance Officer can seek further information from the complainant and also seek any details/information from the concerned department/officials/Authorised Person for verification against allegations made in the complaint. If there is no response from concerned department/officials/Authorised Person within 7 working days of the complaint, the same is escalated to Managing Director. The company has set a target period of maximum 30 days for redressal of any complainant and providing prompt reply to the Investor. Once the complaint is resolved/closed, the Compliance Officer gives the sign-off and information is sent to the investor.

## **MAINTAINENCE OF RECORDS**

The Complaint Register will be maintained for such period as prescribed by regulatory authority.

**In absence of response/complaint not addressed to client's satisfaction, client may lodge a complaint with following:**

<b>Complaint with</b>	<b>Link</b>
SEBI	<a href="https://scores.gov.in/scores/Welcome.html">https://scores.gov.in/scores/Welcome.html</a>
NSE	<a href="https://investorhelpline.nseindia.com/NICEPLUS/">https://investorhelpline.nseindia.com/NICEPLUS/</a>
BSE	<a href="https://bsecrecs.bseindia.com/ecomplaint/frmlInvestorHome.aspx">https://bsecrecs.bseindia.com/ecomplaint/frmlInvestorHome.aspx</a>
MCX	<a href="https://www.mcxindia.com/Investor-Services">https://www.mcxindia.com/Investor-Services</a>
CDSL	<a href="https://www.cdslindia.com/Footer/grievances.aspx">https://www.cdslindia.com/Footer/grievances.aspx</a>

**Client is requested to quote your Service Ticket/Complaint Ref No. while raising your complaint at SEBI SCORES/Exchange portal.**