

MEMBERS:

National Stock Exchange of India Ltd.
Bombay Stock Exchange Limited
Central Depository Services (India) Ltd.
SEBI Registration No. : INZ000257533
NSE Clearing No. 11301 BSE Clearing No. 6726
CDSL DP ID : 29000 SEBI Regn No. IN-DP-CDSL-195-2002



RRS SHARES & STOCK BROKERS PVT. LTD.

INVESTOR GRIEVANCE POLICY

This is an internal policy of RRS SHARES & STOCK BROKERS PVT LTD for Investor Grievance handling.

1. An Investor /Client can make his/her complaint through email or letter to the Company.
2. The Investor/Client can make a written complaint through letter and sent it or hand delivered to Company's Head Office.
3. Handling of all investor grievances (for NSEIL) is a centralized function and is being handled by Compliance department at corporate office.
4. Under the SEBI directive a designated e-mail-id has been created grievance@rrsshare.in & the same has been displayed on our website www.rrsshare.com e-mail id would be monitored by compliance department on daily basis.
5. All the Investor Grievances received in writing at H.O. or at the grievance@rrsshare.in would be verified and scrutinize by the compliance department and it would initiate necessary steps to resolve the complaint within 1 -2 working days of the receipt of the complaint by them.
6. Any course of action which involves the concerned department at Head office it would be informed to the concerned head of the department . Likewise, if the course of action which involves branch and or associate, at the corporate office would be informed/updated.
7. If there is no response from concerned department or the 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 no response within 5 working days the same would be reported to the Designated Director as in the form of an MIS reporting.

**REGD. OFFICE**

24/B, Rajabhadur Mansion - 2, 114, Rajabhadur Compound,
Ambalal Doshi Marg, Fort, MUMBAI - 400 001.

DEALING OFFICE : 411, P. J. Tower, Dalal Street, Fort, MUMBAI - 400 001.
022 - 61829124 • E mail: teammumbai@rrs.in • Website : www.rrsshare.com

BACK OFFICE : 022 - 61829200 Fax : 663 111 93

SERVICE CENTRE - DP

201, Sahyog Complex, Near Deluxe Cross Roads, Nizampura,
Vadodara - 390 002 Gujarat, INDIA.

Tel. : 0265-2575300

8. All investor grievances should be resolved within time period of 15-25 days of the receipt of the complaint to the department.
9. More than 3 complaints received during a month from the same Authorised Person (number of complaints is subject to review depending upon the market conditions and volumes generated by the branches and or associates) Head of business would have to seek an explanation from the manager / head at AP office and keep the compliance department informed/updated.
10. All the investor grievances would be handled in the following manner by the compliance department:
 - a) All the investor grievances (hard copy or softcopy) would be updated in the register (hard copy) which is kept at the reception of the head office/ branch office 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 head of Business and designated Directors of the Company.
 - d) As per the exchange/depository/sebi directives the complaint register has to be maintained in hardcopy function wise i.e. Broking compliant register, DP complaint register and PMS complaint register as in the format specified .
 - 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 as stated in point 10 d.
11. The compliance officer would ensure that it gives its sign-off only after the complaint is resolved.
12. Further any investor facing accessibility issues on the digital platforms of the [Stock Broker/ Depository Participant] may lodge a complaint under the "Accessibility" category on SEBI Complaint Portal namely SCORES. The Regulated Entity is then responsible for remediating the issue to close the complaint.



Procedural part of this policy is applicable as it is on grievance received through “SCORES” (SEBI Complaints Redress System) \ or from exchanges following **SEBI** circular CIR/MIRSD/18/2011 DTD. August 25, 2011 attached as annexure – A

This policy is to be reviewed as & when management thinks fit or whenever changes are mandated by statutory authorities.

Annexure-1

SRN O.	CLIENT CODE	CLIENT NAME & DATE OF COMPLAINT	PARTICULARS OF COMPLAINT	COMPLAINT RECEIPT DATE	MODE OF RECEIPT	HANDOVER TO DEPARTMENT	DATE OF REDRESSAL OF GRIVENCE	REMARKS	FILING OF COMPLAINTS TO EXCHANGE
		(LETTER DATE)			EMAIL / \LETTERS/ OT HERS				

