



## 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](mailto:grievance@rrsshare.in) & the same has been displayed on our website [www.rrs.in](http://www.rrs.in) This 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](mailto: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.

**RRS SHARES & STOCK BROKERS PVT. LTD.**

**DIRECTOR / AUTHORIZED SIGNATORY.**

**REGD. OFF** : 24/B, Rajabhadur Mansion - 2, 114, Rajabhadur Compd., Ambalal Doshi Marg, Fort, MUMBAI - 400 023.  
**DEALING OFFICE** : 022 - 2267 9055, 6633 0456, 6182 9100  
**BACK OFFICE** : 022 - 6182 9200 to 6182 9215 **FAX** : 022 - 6631 1193

**BRANCH OFFICE** : 406, Paradise Complex, Sayaji Gunj, Baroda - 390 005.  
**Tel.** : 236 1002/1637/1987 **Telefax** : 236 2985, **website** : [www.rrs.in](http://www.rrs.in), **email** : [rrsshare@sify.com](mailto:rrsshare@sify.com)

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 branch (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 branch manager 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.

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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				

**BRS SHARES & STOCK BROKERS PVT. LTD.**

**DIRECTOR / AUTHORISED SIGNATORY.**