



Investor Grievances Resolution Policy

Shreyam Securities Limited



In Shreeyam it is important that client grievances are redressed in a time bound manner. Any complaint received at branch or at Authorized Person (A.P) should be escalated to compliance department Head Office (H.O) and a record maintained at Investor Grievance register at branch\A.P.

We have designated email ids care@shreeyamsecurities.com which is mentioned in the IG notice board and needs to be displayed at all branches and offices of the A.P. The notice board contains the contact no's and email details of the compliance officer and the designated director. The contact details of the respective exchanges are also displayed for the convenience of the client.

The investor grievance and compliance officer details have been printed in all contract notes issued to client.

Receipt of complaint: On receipt of complaint the branch \A.P forwards it to H.O Compliance department.

Recording of complaint: The compliance department maintains the record of complaint received with client details, nature of complaint, date received etc.

Verification with client & Branch\A.P\Dealer: The compliance department Verifies with client and the dealer regarding the complaint received. Client email and mobile details are verified with system records.

Investigation: The voice recordings of the client during the disputed period are heard and ascertained whether pre and post recording are available in case of trade dispute. Ledger details are verified with funds receipt and payment received and payment made from/to client. Stock value received as collateral and its present value along with other stocks.

If it is brokerage issue the concerned relationship manager is asked for confirmation.

Based on the above analysis if there is a problem at our end and the same is rectified and client is informed. If he is satisfied the complaint is closed.

If there is no fault on our side the same is informed to client first orally and then on email. If client is not satisfied then he is advised to approach the exchange where the trade dispute arose.