

Policy For Redress Mechanism Of Investor Grievance

We at R K Global Shares & Securities Limited endeavor to address all complaints regarding service deficiencies or causes for grievance, for whatever reason, in a reasonable time and manner. We realize that quick and effective handling and resolution of client's / Investor's grievances is essential to provide excellent client service.

To achieve this, our company has clearly documented policy for redressal of investor grievances. Through this policy, our company shall ensure that a suitable mechanism exists for receiving and addressing complaints from our client's investors with specific emphasis on resolving such grievances fairly and expeditiously.

This Policy Seeks to ensure that:

- Grievance, if any, that may arise shall be resolved in a proper and time bound manner with detailed advice to the client/investor. In case the resolution needs time, an interim response acknowledging the grievance/complaint shall be issued.
- The Compliance Officer shall give a monthly report of the client's grievance to the Directors of the company with complete details as Name and Account number of the client, Nature of Complaint, Date of receipt of the complaint and Status of resolving the same. For grievances remaining unresolved for a period of more than 15 days from the date of receipt, the Compliance officer shall provide a justification to the Directors.
- The Compliance officer shall maintain proper records of all grievances received and resolved'.
- All personnel / employees at the customer facing channels and other support departments will be periodically trained in handling client's complaints.
- The Grievance Redress Mechanism with updated contact details and email ID shall be provided to the Clients and uploaded on the company's website.

Grievance Redress and Dispute Handling Mechanism

For timely and proper redressal of clients/investor's grievances and complaints, we have the following Grievance Redress and Dispute handling Mechanism in place:

- For disputes or differences arising between the Client and us which in the event of not being solved/resolved amicably, shall be settled in accordance with and subject to the provisions of the Member Client Agreement entered into by both the parties.

For R K Global Shares & Securities Limited

Sushil Kumar Dhancholia

Compliance Officer