

## INVESTOR GRIEVANCE POLICY

1. Handling of all investor grievances for the Company's Investment Advisory and other Distribution activities is a centralized function and is being handled by Compliance department at our corporate office.
2. Under the SEBI directive a designated e-mail id has been created namely [investor.grievances@nexedge.capital](mailto:investor.grievances@nexedge.capital) and the same has been displayed on our website [www.nexedge.capital](http://www.nexedge.capital). This e-mail id would be monitored by compliance department on daily basis.
3. All Investor Grievances (hard copy or soft copy) that are received at the branches and offices of distributors (herein after referred as "associates") should after incorporating their comments / remarks if any, forwarded within 2 working days of the receipt of the complaint to the Compliance Department at corporate office for further action.
4. All the Investor Grievances received at the [investor.grievances@nexedge.capital](mailto:investor.grievances@nexedge.capital) and those complaints forwarded by the branches and or associates 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.
5. Any course of action which involves the concerned department at Head office it would be informed to the concerned head of the department and Business team. Likewise, if the course of action which involves branch and or associate, business team at the corporate office would be informed/updated.
6. 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.

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7. All investor grievances should be resolved within time period of 30 days of the receipt of the complaint to the department.
8. 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.
9. All the branches and associates would maintain an investor grievance register, this register would be subject to audit and inspection by the compliance officer of the company.
10. All the investor grievances would be handled in the following manner by the compliance department.
  - 10.1 All the investor grievances (hard copy or softcopy) would be updated in an excel register (softcopy) on the same day of the receipt of the complaint. This register would be monitored by the compliance officer.
  - 10.2 After verification and scrutiny, the appropriate steps would be initiated to resolve the complaint at the earliest.
  - 10.3 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.
  - 10.4 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.
11. The compliance officer would ensure that it gives its sign-off only after the complaint is resolved.
12. In case of any grievance / complaint or query:
  - 12.1 Please contact our Compliance Officer – Mr. Karan P Nanda / email Id – [compliance@nexedge.capital](mailto:compliance@nexedge.capital) and Phone No. +91-11-69201130.

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12.2 You may also approach Director cum Principal Officer – Mr. Karan P Nanda / email Id – [principalofficer@nexedge.capital](mailto:principalofficer@nexedge.capital) and Phone No. +91-11-69201130.

12.3 In case you are not satisfied with our response you can lodge your grievance with SEBI at <https://scores.sebi.gov.in/> or you may also write to any of the offices of SEBI. For any queries, feedback or assistance, please contact SEBI Office on **Toll Free Helpline at 1800 22 7575 / 1800 266 7575**. SCORES may be assessed through SCORES mobile application as well, same can be downloaded from below link.

**Google Play:**

<https://play.google.com/store/apps/details?id=com.sebi>

**Apple Store:**

<https://apps.apple.com/in/app/sebiscores/id6478849917>

12.4 ODR Portal could also be accessed, if unsatisfied with the response. Your attention is drawn to the SEBI circular no. SEBI/HO/OIAE/OIAE\_IAD-1/P/CIR/2023/131 dated July 31, 2023, on “Online Resolution of Disputes in the Indian Securities Market”. A common Online Dispute Resolution Portal (“ODR Portal”) which harnesses conciliation and online arbitration for resolution of disputes arising in the Indian Securities Market has been established. ODR Portal can be accessed via the following link:

**SEBI ODR**

<https://smartodr.in/>