

Detailed write up on procedure for Raising Query / Filing a Complaint on Designated Email ID/ Number along with Flowchart

Khambatta Securities Ltd. is an SEBI registered Stockbroker (INZ000261131) and Depository Participant (IN-DP-CDSL-03-99) and acts as an intermediary for placing buy and sell orders on behalf of the clients, in the capital market. Our ability of providing customer service and addressing a customer's query depends a lot on the information that we have, and we address all issues on a best effort basis to provide a delightful experience to our customers.

Level 1

An investor registered with Khambatta Securities Ltd. can redress their grievances to seek resolution on all your investor grievance issues, please login to Khambatta Securities Limited website and raise your complaint. In the event of a grievance not being resolved within a reasonable period, please do not hesitate to contact us at our Head Office or email us at designated email id complaints@khambattasecurities.com.

Level 2

If the customer's issue remains unresolved at Level 1 or if the customer is not satisfied with the response provided at Level 1, the Customer may, write to the Compliance Officer at compliance@khambattasecurities.com

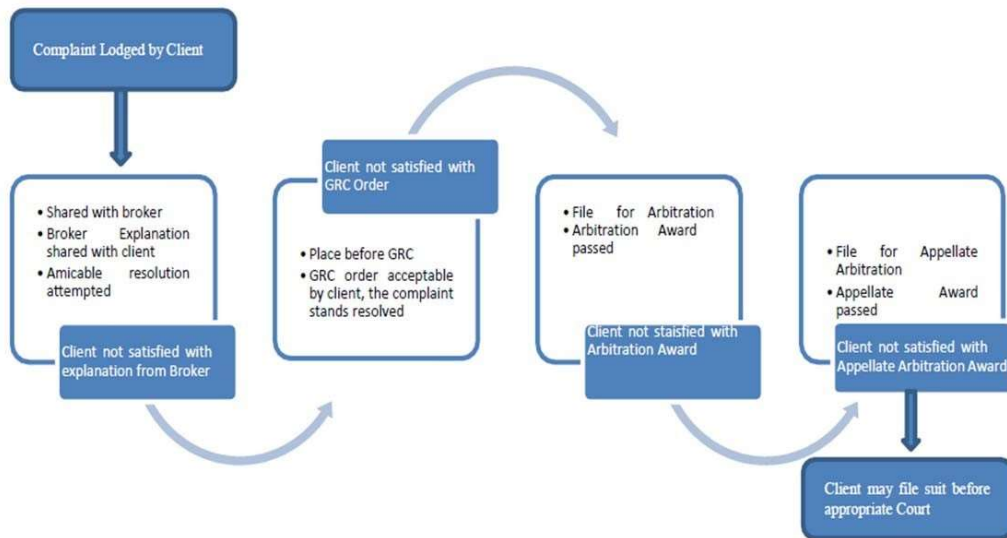
The customer can also approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange.

In case the complaint is not redressed at Stock Broker / Stock Exchange level, the customer may approach SEBI and lodge the complaint on SCORES (a web based centralized grievance redressal system of SEBI) at:
<https://scores.gov.in/scores/Welcome.html>

Detailed procedure for SCOREs can be accessed through SEBI circular Ref. No. SEBI/HO/MIRSD/MIRSD6/CIR/P/2017/20, dated March 10, 2017.

Filing complaint on SCORES – Easy & quick

- a. Register on SCORES portal
- b. Mandatory details for filing complaints on SCORES - Name, PAN, Address, Mobile Number, E-mail ID
- c. Benefits:
 1. Effective Communication
 2. Speedy redressal of the grievances



Detailed write up on procedure for finding out status of the complaint on the basis of Ticket Number

Please find the below detailed write up on finding out status of the complaint:

- We have following designated E-mail ID's and dedicated Contact Numbers for filling complaints.

<u>Email IDs</u>	<u>Contact Numbers</u>
<u>complaints@khambattasecurities.com</u>	<u>022-66413326/28</u>

- The above E-Mail IDs and Contact Numbers are already hosted / available on our website.
- Once the client lodged a complaint on designated E-Mail IDs, an e-mail consisting of Ticket Number along with acknowledgement of complaint receipt from client, will be sent to the client on his / her / its registered E-Mail ID / Address with us for the complaint lodged by the client.
- The client can track the status of lodged complaint, by sending e-mail at designated E-Mail IDs as mentioned above with the Ticket Number provided by our team.
- On receipt of the complaint and after sending e-mail of Ticket Number along with acknowledgement of complaint receipt from client, our team will investigate into the matter and will respond to the client over phone or through e-mail within 7 days from the date of receipt of the complaint.
- On successful closure of client's complaint / query, a closure / resolution e-mail will be sent to the client from our side for closure of client's complaint.