

**b) Detailed write up on procedure for filing a complaint on designated email id/ Toll-free number along with Flowchart and video if any (optional). Provisions to be made for sharing Ticket Number once the complaint is lodged.**

The regulator has made it mandatory for each broker member to have a dedicated mail Id for the investor / customers to make his complaints / grievances with the member, and the broker is required to resolve such complaints within a reasonable time after the receipt of such complaints. The company has formed a mail ID [kgscompliance@yahoo.com](mailto:kgscompliance@yahoo.com) on the Khajanchi and Gandhi website to receive and address the grievances of the investors as and when they become our client/customer.

**The mail ID will be accessed by the following personal from the company:**

- Designated Director
- Compliance Officer
- Accounts / Back-office

The company shall ensure that once a complaint is received from the customer/investor, the same is attended as a top priority and provide the reply regarding the investor query as soon as possible depending on the complexity of the complaint. Many times the client enquire for information also on the investor grievance email id, then in such cases the compliance officer will bifurcate the email received as an investor grievance email or an enquiring email. In case if it is an enquiring email then the same is required to be replied within a maximum of 3 working days. In case if it is an investor grievance then the same has to be replied after thorough study within a period of 7 working days. In case the complaint/query is of such nature that it requires the attention and discussion of the senior management, then the said complaint/grievance should be discussed by the Investor Grievance Committee and a suitable solution must be communicated to the investor/customer at the earliest.

**Types of Investor Grievances / Complaints: -**

<b>1. Non-receipt / delay in payment:</b>	<b>11. Excess brokerage</b>
<b>2. Delay in refund of margin payment</b>	<b>12. Non-execution of order</b>
<b>3. Non settlement of accounts</b>	<b>13. Wrong execution of order</b>
<b>4. Non-receipt / delay in delivery or transferring securities</b>	<b>14. Connectivity / system related problem</b>
<b>5. Non-receipt of documents</b>	<b>15. Non-receipt of corporate benefits</b>
<b>6. Non receipt of Bills/ Contract notes</b>	<b>16. Other service defaults</b>
<b>7. Non receipt of Account statements</b>	<b>17. Closing out / squaring up</b>
<b>8. Non receipt of copies of Rights &amp; Obligation Documents.</b>	<b>18. Dispute in Auction value / close out value</b>
<b>9. Unauthorized trades / misappropriation</b>	<b>19. Non implementation of arbitration award</b>
<b>10. Service-related issue.</b>	<b>20. Others</b>