

ISHANIKA SECURITIES PVT. LTD.

INVESTOR GRIEVANCE REDRESSAL MECHANISM

OBJECTIVE

This Mechanism has been drafted and framed to provide client satisfaction at topmost level. This Mechanism is in compliance with the Master Direction on Fair Practices Code and the Ombudsman Scheme for Stock Broker issued by SEBI from time to time.

It is our constant endeavour to put Client's interest first and provide them with best capital market services.

It is essential that the grievances of the Client are given due importance and quick action is taken to resolve the same. To provide efficient and enhanced services to the client. Ishanika Securities Pvt. Ltd. has a Mechanism in place to address the grievances of its Clients relating to any Business or Service related issues made directly or through the Regulatory Authorities /Other Authorities through arbitration etc.

INVESTOR GRIEVANCE REDRESSAL MECHANISM

The following process and guidelines are laid by Ishanika Securities Pvt. Ltd. for responsible handling of all the complaints and for ensuring efficient and effective grievance redressal.

Ishanika Securities Pvt. Ltd. will receive Client Complaint:

- ✓ Directly through Client
- ✓ Through Regulatory Authorities, Advocates, Consumer

Forums Available Modes:

- ✓ Physical Letter
- ✓ Phone Calls
- ✓ E-mails
- ✓ Personal Visit to Head Office

Any Investor or Client who has a grievance against the Company on any one or more of the grounds may himself or through his authorized representative, may write to the Compliance Officer specifying the details of your concern, names of the official you were dealing with, and previous communications, if any you made with the concerned official or its team member.

The details of complaint should be registered on the same date of receipt.

- Client complaint received directly in E-mail form at Designated email id for redressal of Investor Complaints: “**ishanika1@gmail.com**” are duly

acknowledged by recording the details in our System and the sender is issued a 'Ticket Number' as a confirmation of receipt of his specific complaint which can also be used for all correspondences thereon. This 'Ticket Number' is informed to client with a return e-mail to the same email ID from where the complaint is received. The complaint is assigned to the Grievances Department which will resolve the same. The designated official shall ensure that the complaint is recorded in the CCR.

- All the client communication will be done only through Designated email id for Investor Grievance handling. i.e. ishanika1@gmail.com
- If any client sends a complaint through e-mail to any Employee they will forward such email to ishanika1@gmail.com and the 'Ticket Number' is issued to the e-mail id of the client, from where the complaint was received.

In case of any grievance client may reach our Customer Care Department at:

IG E-mail: ishanika1@gmail.com

Phone: 033-22300738



If the client is not satisfied with the resolution provided by the Customer Care Executive the Client may approach the Customer Care Head:

Mr. Ronak Khetan

E-mail: ronak24khetan@gmail.com

Phone: 91 9830476300



If the client is still dissatisfied, they may approach the Compliance officer for further resolutions.

Mr. Jugal Kishore Sharma (Compliance Officer)

E-mail: jugal51@gmail.com

Mobile: 91 9331006952



If the Compliance Officer fails to resolve the client grievance, they may write to the CEO of the Organization

Mr. Hari Prasad Khetan

Email: hpkhetan4@gmail.com

Phone: 91 9339276300



*If the investor grievance is not resolved by Stock Broker
The investor can approach NSE through -
<https://investorhelpline.nseindia.com/NICEPLUS/>*

The Investor can directly lodge the Complaints to SCORES portal if they feel aggrieved by an act of any Capital Market Intermediary through <https://scores.gov.in/scores/Welcome.html>

The client needs to register himself on the SCORES portal using the above link, then he can lodge his complaint.

REVIEW/REVISION OF THE MECHANISM

If at any point a conflict of interpretation / information between the Mechanism and any regulations, rules, guidelines, notification, clarifications, circulars, master circulars/directions issued by relevant authorities (“Regulatory Provisions”) arises, then interpretation of the Regulatory Provisions shall prevail.

In case of any amendment(s) and/or clarification(s) to the Regulatory Provisions, the Mechanism shall stand amended accordingly from the effective date specified as per the Regulatory Provisions. The Board reserve(s) the right to alter, modify, add, delete or amend any of the provisions of the Mechanism.