AMBIT BROKING SERVIVCES PRIVATE LIMITED (ABSPL)

INVESTOR GRIEVANCE REDRESSAL POLICY

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Section I - Objective

The policy document aims to strengthen the mechanism of ensuring prompt redressal of Customer's grievances at Ambit Broking Services Private Limited ("ABSPL / the Company").

Section II - Principles

The policy on grievance redressal follows the under noted principles:

- Customers to be treated fairly at all times.
- Complaints, Critical requests and issues raised by Customers are dealt with on time.
- All complaints from Customers to be treated efficiently and fairly.
- Customers are made completely aware of their rights.
- Employees must work in good faith and without prejudice to the interests of the Customer.
- Structuring a meaningful and effective mechanism for redressal of complaints. To ensure that the redressal is just and fair and complaint is redressed within the given frame-work of rules and regulation.

Section III - Internal Mechanism to Handle Customer Complaints/ Grievances

The Compliance Officer of the Company or Group Head - Compliance & Legal shall be the designated person(s) to whom all the complaints can be addressed.

The complaints can be of two types:

- Received from any Regulatory Authority (NSE/BSE/SEBI/Any other competent authority) either by an email or letter or other mode of communication,
- Received from the Customer's or Customer's representative by an email or letter or other mode of communication / SCORES (a web based centralized system introduced by SEBI)/ODR.

The Compliance Officer shall segregate the complaints received based on the nature of complaint and forward it to respective Relationship Manager (RM)/ Head of Department (HOD) / Service Manager/Know your customer/client (KYC) department.

The RMs are primarily responsible for the resolution of complaints/grievances in respect of Customer's serviced by them. It is their foremost duty to ensure that the complaint is resolved completely to the satisfaction of the Customer and to also ensure closure of all complaints received within 7 days from its receipt. If the RM feels that the resolution of the complaint is not possible at his level then they must refer the case to HOD for guidance. If the compliant is still not resolved it should be escalated to Senior Management.

Any complaint received directly by the RM/Business team/Branch/Authorised Person/Business Partner, shall be brought to the notice of HOD & Compliance Officer and or the Group Head - Compliance & Legal immediately. A similar process of 7 days resolution and escalation should be followed at the Branches//Authorised Person/Business Partner as well.

In case of Complaints received from any Regulator the Compliance Officer and/ or Group Head - Compliance & Legal shall in consultation with CEO/ COO, as may be required, respond directly.

In all cases it should ensure that the complaint be resolved within a period of 21 days from the receipt of the complaint. In case any additional information is required from the complainant, it should be sought within 7 days from the receipt of the complaint. In such cases the period of 15 days will be calculated from the day when the additional information is received. It will be duty of all the concerned officials to adhere to this time limit.

Closure of complaint: In case of direct complaints received from clients, whenever the reply is sent to Customer and Customer does not revert back in 30 days' time from the date of reply, ABSPL shall treat the final reply date as closure date of the complaint. If Customer raises another complaint having different issue anytime then the complaint is treated as a new complaint.

Section IV - Complaint Register

All the grievances needs to be entered into a separate Register maintained at Head Office/Branch office./AP Office

Section V - Complaints Regarding Unauthorised Trades

With a view to address the complaints regarding unauthorised trades, member shall have the system in place to ensure the following:

i. In case the Member has made margin calls to the client and the client has failed to comply with these margin calls, then the contract note issued by Member for transactions owing to non-compliance of such margin calls would bear a remark specifying the same.

ii. The Member shall maintain a verifiable record of having made such margin calls and that the clients have not complied with the same.

Section VI - Display of Information Regarding Grievance Redressal Mechanism

For information of all investors who deal/ invest/ transact in the market, the offices of Ambit Broking and its registered authorized person(s) shall prominently display basic information about the grievance redressal mechanism available to investors as per SEBI & Exchange Circulars.

Section VII - Publishing Investor Charter & Disclosure of Investor Complaints on Website

SEBI, in consultation with the market participants, has prepared an Investor Charter for Stock Brokers, detailing the services provided to Investors, Rights of Investors, various activities of Stock Brokers with timelines, DOs and DON'Ts for Investors and Grievance Redressal Mechanism

Stock Brokers shall disclose the Investor Charter on their website, making them available at prominent places in the office and provide a copy of Investor Charter as a part of account opening kit to the clients, through e-mails/ letters etc. Additionally, Stock Broker shall disclose on their website, the data on complaints received against them or against issues dealt by them and redressal thereof, latest by 7th of succeeding month

Designated Address and Email Id for sending Customer Grievances:

Corporate Address: Ambit Broking Services Private Limited
Ambit House
449, Senapati Bapat Marg, Lower Parel,
Mumbai – 400 013, Maharashtra, India

Designated Email Id for Investor Grievances: investorgrievance.abspl@ambit.co

Disclaimer: It is not necessary that all the emails received in the designated email ID will be treated as Customer Compliant/Grievance. The emails could also be queries which can be determined by the Compliance Officer of the Company.

The above details will be displayed on the website of the Company and the account opening kit. Any change in above address will be notified on the website of the Company.

Section VIII – Policy Review

The policy will be reviewed annually or as and when any new circulars issued by the SEBI or relative exchanges, whichever is earlier within one month of the same.