



SPFL Securities Limited

CIN No. : U74899DL1995PLC069581
GSTIN No. : **09AABCS2452C1ZP**
Member : NSEIL & BSE LTD.
D P : NSDL & CDSL
15/63-L, Civil Lines, Kanpur - 208001 (Uttar Pradesh)
Ph. : 7376325889, 7376335889

INVESTOR GRIEVANCE POLICY

1. Handling of all investor grievances for the Company's Broking activities is a centralized function and is being handled by Compliance Department at Corporate office.
2. SEBI Complaints Redress System (SCORES)- SEBI maintains SCORES which is a web based centralized grievance redressal system of SEBI. Investors can lodge their grievances / complaints through the SCORES link available on the SEBI website <https://scores.gov.in/scores/Welcome.html>. SCORES enables investors to lodge and follow up their complaints and track the status of redressal of such complaints online from the above website from anywhere. Investors can also lodge grievances / complaints in physical form at any of the offices of SEBI. Such grievances complaints would be scanned and uploaded in SCORES for processing.
3. Under the SEBI directive, a designated e-mail id has been created namely grievance@spfl.co.in/info@spfl.co.in and the same has been displayed on our website www.spfl.co.in. This e-mail id would be monitored by Compliance Department on daily basis.
4. All investor grievances in soft copy that are received at the branches and offices of authorized persons (herein after referred as "associates") should after incorporating their comments/ remarks if any, forwarded within 3 working days of the receipt of the complaint to the Compliance Department at Corporate office for further action.
5. All the Investor Grievances received at the grievance@spfl.co.in/info@spfl.co.in and those complaints forwarded by the branches and or associates would be verified and scrutinized by the Compliance Department and it would initiate necessary steps to resolve the complaint within 1 -3 working days of the receipt of the complaint.
6. Any course of action which involves the concerned department at corporate office, it would be informed to the concerned department. Likewise, if the course of action which involves branch and or associate at the corporate office would be informed/updated.
7. 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



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immediate action and if there is no response within 5 working days the same would be reported to the Designated Director as in the form of an MIS reporting.

8. All investor grievances should be resolved within time period of 15-30 days of the receipt of the complaint to the Department.
9. The Company would maintain an investor grievance register as in the format specified, 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.
 - a) All the investor grievances in softcopy would be updated in an excel register (softcopy) as in the format specified on the same day of the receipt of the complaint. This register would be monitored by the Compliance Officer.
 - b) After verification and scrutiny the appropriate steps would be initiated to resolve the complaint at the earliest.
 - c) A monthly MIS of the complaints received, pending and or resolved would be given to the Designated Directors of the Company.
 - d) As per the Exchange/Depository/SEBI directives, the complaint register has to be maintained in hardcopy function wise i.e. Broking compliant register, and as in the format specified.
 - e) 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 as stated in point 10 d.
11. The Compliance Officer would ensure that it gives its sign-off only after the complaint is resolved.