

RUDRA SHARES & STOCK BROKERS LIMITED

INVESTOR GRIEVANCE REDRESSAL MECHANISM

□ The register of complaints is centrally maintained. The Company has a dedicated Customer Care Team to monitor & redress complaints lodged with Head office / Branches / APs. The Complaints received from clients through mail, letter at branches and sub-broker/AP is forwarded to Head office through email, telephone or post to Customer Care Team where they are redressed on online basis. If the complaint is not resolved at this level, then it is forwarded to Compliance Department. The pending investor complaints and redressal at this level is monitored by the compliance officer. The analysis of such complaints is done by the management and preventive measures are taken and implemented.

□ Complaints registered against the company and received through Regulatory Authorities like SEBI / Exchanges / CDSL are redressed by Compliance Department.

□ The Company has designated an exclusive e-mail ID to enable the investors to register their complaints and such ID has been displayed on the company's website and printed on KYC Form, statements, Welcome kit etc.

1. The company has a designated investor grievances email id investorcare@rudrashares.com on which the client or investor can make a complaint.
2. The company has a designated Customer Care / Investor Care telephone no. 7518777888 on which the client or investor can make a query / complaint.
3. An Investor / client can make a written complaint through letter also; Company maintains investor grievance register in which full detail of every written complaint shall be entered.
4. Designated person shall login the designated investor grievances email id on daily basis to look after the investor complaint whether new complaint has been lodged or not and revert timely with information about the status of the complaint.
6. The full detail of the written complaint must be passed to the concerned department and inform the compliance officer of the company as soon as it is received.
7. A letter or mail must be written to all the investor who have submitted written complaints by the designated person or Compliance Officer acknowledging receipt of the complaint and informing them it will be dealt with.
8. Compliance Department will obtain all information available on the complaint which is considered necessary for a proper investigation. Look into all the necessary information and resolve the as soon as possible.

9. There is standing policy of the company to resolve the investor complaint within seven days of the receipt of the same expect the complicated case.
10. A serious complaint (where the written response does not settle the issue) must be referred to the director of the company.
11. The Compliance Officer of the Company shall review the investor complaint register on weekly basis to find out whether complaint has been resolved within time or not.
12. The Designated Director / CEO/ MD of the Company shall review the redressal of investor complaint on weekly basis to find out whether complaint has been resolved within time or not.
13. Board of the Company shall review the redressal of investor complaint on fort-nightly or in immediate next meeting, whichever is earlier.

ESCALATION MATRIX					
Details of Person	Contact Person	Address	Contact No.	Operational/Working Hours	Email ID
Customer Care	Ms. Gaurika Tandon	15/63, Civil Lines, Kanpur 208001	0512-6711000	Monday to Friday 10:00AM to 06:00PM	Compliancesupport2@rudrashares.com
Head of Customer Care	Mr. Sanjay Kumar Gupta	15/63, Civil Lines, Kanpur 208001	0512-6711011	Monday to Friday 10:00AM to 06:00PM	Compliancesupport1@rudrashares.com
Compliance Officer	Mr. Sumit Kumar Gupta	15/63, Civil Lines, Kanpur 208001	0512-6711047	Monday to Friday 10:00AM to 06:00PM	Sumit.gupta@rudrashares.com
CEO	Mr. Kishore Kumar Vakil	15/63, Civil Lines, Kanpur 208001	0512-6711000	Monday to Friday 10:00AM to 06:00PM	Kishor.vakil@rudrashares.com
<p>In absence of response/complaint not addressed to investor satisfaction, investor may lodge a complaint with SEBI at https://scores.sebi.gov.in/ or Exchanges at NSE: https://investorhelpline.nseindia.com/NICEPLUS/, BSE: https://bsecrecs.bseindia.com/ecomplaint/frmlInvestorHome.aspx, MCX: https://www.mcxindia.com/Investor-Services, NCDEX: https://ncdex.com/investor_complaint and CDSL: https://www.cdslindia.com/Footer/grievances.aspx Please quote your Service Ticket/Complaint Ref No. while raising your complaint at SEBI SCORES/Exchange portal.</p>					