

Filing Complaints at Exclusive Securities Ltd (ESL)

RECEIPT OF COMPLAIN

We receive client complaint either directly from client - in any of the modes viz physical letters, e-mail, phone and personal visit. Further, clients' complaints are also received through SCORES, Regulatory authorities, Advocates, Consumer forums etc.

The company has a separately designated investor grievances email id for **Broking** - grievances@exclusivegroup.co.in & **Depository Participant** - esldp_grievances@exclusivegroup.co.in on which the client or investor can lodge a complaint. The designated email-id is displayed on the website of the Company <http://www.exclusivegrp.com/> and printed prominently on the Notice Boards displayed at the Branch, Sub-Broker and Authorised Person's office, printed on various KYC forms contract notes, holding statements and other communications sent to Clients. The company has a Compliance Department at its corporate office with requisite staff strength headed by the Compliance Officer.

While our compliance teams get to work to resolve the complaint, the customer receives the **unique Ticket ID** in our reply. This ID can be used for future reference in any of their interactions with the compliance teams get to work to resolve the complaint, the customer receives the **Unique Ticket ID** in our reply

RECORDING OF COMPLAIN

A Register of Complaints is maintained in accordance to the rules, regulations, Bye laws and directives of the Exchanges/SEBI stating complete detail of complaints

All the Investors complaints are recorded immediately in Investor Grievance Register maintained separately for each Exchange and Depository. The Complaint received either physically or electronically by email shall be filed serially with "**Unique Ticket ID**", The Compliance Officer is responsible for receiving and recording all the Investor complaint.

HANDLING OF COMPLAINT

It will be the duty of Compliance Officer to ensure that the complaints received from investors are redressed earliest and without delay.

All the Investor Grievances received are verified and scrutinized by the compliance department. On receipt of the complaint, the Compliance Officer can seek further information from the complainant for verification against allegations made in the complaint.

The company has set a target period of maximum 30 days has the policy for redressal of any complainant and providing prompt reply to the Investor, within adequate time period.

Once the complaint is resolved/closed, the Compliance Officer gives the sign-off.

CLIENT CAN FILE COMPLAIN DIRECTLY OR ON OUR DESIGNATED EMAIL ID

DESIGNATED EMAIL ID AVAILABLE ON OUR WEBSITE-WWW.EXCLUSIVEGRP.COM

THE COMPLAIN IS RECORDED AND A UNIQUE TICKET ID ALLOTED AND SAME IS PROVIDED TO **CLIENT** FOR FUTURE REFERENCE

COMPLIANCE OFFICER TO ENSURE THAT THE COMPLAINTS RECEIVED FROM INVESTORS ARE REDRESSED EARLIEST

THE COMPLIANCE OFFICER CAN SEEK FURTHER INFORMATION FROM COMPLAINANT

COMPLAINANT IS PROVIDED REPLY MAXIMUM IN 30 DAYS IF SATISFY THAN COMPLAIN IS CLOSED