Client grievance / complaint – Redressal procedure

VISION

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

MISSION

There is a standard procedure adopted in Sunidhi Securities & Finance Ltd. for redressal of client complaint / grievance.

A Centralised Complaint grievance procedure is adopted for the following reasons:
i)To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
ii)To establish and maintain a relationship of trust and ethics with the investors.
iii)To observe highest standard of compliances and transparency.
iv)To always keep 'protection of investors' interest' as goal while providing service.

Process: A dedicated e-mail id: complaints.redressal@sunidhi.com is designated for the Investor grievance and is communicated via Client registration form and also on the website. The compliance officials after scrutinizing the complaint, segregates the complaint departmental wise for redressal of the complaint. Since the compliance department vis a vis the compliance officer is the sole 'Central Authority' to accept all the communiqués from Clients / Regulatory/ Government authority etc, hence no communication received either from investor / stock exchange can be go astray without recognition. The correspondence from client regarding any dissatisfaction is recorded in the Investor complaint register maintained by the compliance department, hence there is no chance of evading any document.

The matter is further escalated and rooted to the concerned department for feedback with target time so that there are no lapses. The compliance department has set a mechanism of rigorous follow-up for any client grievance with the respective Head of departments so as to resolve the complaint within one month of receipt of the complaint.

Investor grievance Reports are posted on the Exchange Portal about the Investor complaint section are checked on a regular basis and follow up with the exchange officials regarding any pendency of grievance is tracked and requisite mechanism as mentioned above is in place to address it instantly.

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