

INVESTOR GREIVANCES REDRESSAL
POLICY
(VERSION 2022-2023)



1. INTRODUCTION

quant Institutional Equities Private Limited (QIEPL) was incorporated on March 09, 2009.

QIEPL has its registered office at 6th Floor, Sea Breeze Building, Appasaheb Marathe Marg, Prabhadevi, Mumbai 400 025.

The Company has been promoted to carry on the business of share and stock brokers, sub-brokers, finance brokers, underwriters, sub-underwriters to deal in shares, securities, stocks, units, debentures, bonds, obligations and various instruments of financial markets.

The Company offers financial services, organised under agency and capital business lines. To start with the agency business will include institutional equities, institutional derivative desk, while the capital business line would include internal treasury operations.

QIEPL is Trading Member of Multi Commodity Exchange of India Ltd (MCX), National Commodity & Derivatives Exchange Limited (NCDEX) and BSE Limited (BSE) registered under SEBI.

2. OBJECTIVE

The objective of the policy is to address the grievances of the customers. One of the core value of our company is **“Customer first”** and we ensure that customers are satisfied with the services rendered by us. This policy has been formulated in order to ensure that grievances of the customers are effectively and timely redressed.

3. INVESTOR REDRESSAL MECHANISM

The Company has a Compliance Department at its registered office, headed by the Compliance officer.

RECEIPT OF COMPLAINT

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

Handling of all investor grievances is a centralized function and is being handled by Compliance Department at the corporate office of the company.

RECORDING OF COMPLAINT

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 for Exchanges Depository.

The Complaint received either through any mode shall be filed.

The Compliance Officer will be responsible for receiving and recording all the Investor complaint.

quant institutional equities private limited (formerly known as quant commodity broking private limited)

CIN: U67190MH2009PTC291658

Regd. Office: 6th Floor, Sea Breeze Building, Appasaheb Marathe Marg, Prabhadevi, Mumbai 400 025 | phone 91 22 62955055

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 and also seek any details/information from the concerned department/ officials/Sub-Brokers/Authorized Person for verification against allegations made in the complaint.

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

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

REVIEW OF COMPLAINT

The Compliance Officer regularly monitors and reviews complaints according to its nature against a particular employee and/or sub-brokers, authorized person etc. and on the basis of such analysis, inform the management to take adequate steps to strengthen the systems.

The Internal Auditors review grievances status on a periodic basis.

4. MAINTAINENCE OF RECORDS FOR INVESTOR GREIVANCES

The Complaint Register will be maintained at the office of the company for such period as prescribed by regulatory authority. Dedicated Investor Grievance Email ID has been informed to investors/clients through Welcome letter and Contract Notes.

Investor can directly lodge the complaint with SEBI <http://scores.gov.in/>

The complaint register is under the custody of compliance department and is periodically reviewed.

5. REVIEW OF THE POLICY

This policy is reviewed as and when management thinks fit or whenever changes are mandated by statutory authorities. This policy is updated if there are any changes during the year.