



A Brief Note on investor grievances handling Mechanism Prevalent in ATISHAY STOCK BROKING PVT. LTD.

ATISHAY STOCK BROKING PVT. LTD. founded in Kolkata, India's one of the fastest growing broking organization for financial services provide to its clients. We aspire to be a global major in providing complete solutions, with relentless focus on investor care and complete transparency. Over 2 years of experience has earn **ATISHAY STOCK BROKING PVT. LTD.** the trust of investors. We value the trust reposed in by the clients and we are firmly committed to uphold it at all cost. The policy is drafted by Mr. Subhendu Sarkar.

We are stock broker having transparent and fair systems in place to provide trouble free services. It is our sincere endeavor to provide best of industry services to our customers. In this sincere attempt there is some possibility of minor discontentment here or there or some impersonal attitude leading to criticism or grievance. Since our conscience is clear, hence we always welcome the issues raised and suggestions made by the investors/clients because it is only they for whose benefit and protection the systems and regulations are made.

Investor Education v. Investor Grievances

We understand that investor education and investor information create customer satisfaction and minimize genuine grievances. Need not mention that every satisfied customer, educated and informed, is an asset to the organization.



Based on this theme our step wise methods are as under: -

- ATISHAY STOCK BROKING PVT. LTD. conducts investor awareness programme and workshops from time to time to educate the investors about the does and don'ts of the Market.
- We make sufficient disclosures of investment risks and satisfy queries of the Investors who are interested to trade through us before signing a well drafted Member Constituent Agreement, which is framed according to the Circular/guidelines by SEBI. After signing of the said agreement, a Unique Client Code is assigned to each investor and uploaded with the Exchange as well.
- Immediately on opening of account we provide copy of CRF and send Welcome letter to every client to familiarize him with his account details, online and offline operations, User ID and password, which enable him to be aware of all his trade related information.
- Investors can either mail or also call us regarding any information, query, inquiry or even grievance. We advise the clients on correct procedures and arrange to get the information provided or grievances resolved expeditiously by liasoning with the concerned persons in the company.
- Digital contract notes are dispatched daily and account statements are sent regularly to all clients with a request that if they find any discrepancy they may call us or write to us within 24 hours of receipt. Still queries are not discouraged on ground of delay.
- In addition to digital contract notes, physical contract notes are instantly supplied to investors on their request.
- Clients can verify their trades on back office software through their ID and password.
- Mobile confirmation of trades and ledger balance is made available through sms facility.



- We also makes random confirmation from clients that they are receiving all the above documents and information.
- All de-mat accounts are connected with SMS facility, any movement of securities in/from those accounts would be duly informed to de-mat account holder.
- Information related to ledger balance are also provided through SMS. The clients are also informed about the trades executed on their instructions, through SMS sent on their registered mobile numbers.
- We are providing online software which is browser based and easily a BO Team accessible through our website i.e. www.atishaygroup.com to our clients for viewing their day to day reports including contract notes of daily transactions.

Existing Mechanism to address Investor Grievances: -

In this attempt we have a well defined mechanism in place which is spread over two layers to respond and address the Grievances of Investors. These layers are known as **Operation Team** and **Investor Grievances / Compliance Team** which has final company word. The constitution and functions of both team constituents are as follows;

Back Office Team: - Our BO TEAM is the company's face before the customers. Any query, need for information or grievance minor or major by Customers is received by BO TEAM. We have e-mail Id grievance@atishaygroup.co.in for online and offline customers which are sufficiently displayed and disseminated by us on website, contract note, KYC kit. Our BO TEAM has vast adequate and relevant experience to handle the customer care issues.

Customer Support Executive provides assistance and guidance to the clients for their queries / grievances and resolving requests and complaints received from clients, branches and sub-brokers. The other



responsibilities taken care of by the BO TEAM include assistance provided to the clients, branches and sub-brokers with the software provided to them for viewing day to day transactions reports, and other reports that may be required by the clients. To register, monitor and handle the cases more appropriately and effectively in a timely manner we have display e-mail id on our website www.atishaygroup.com

Motto of this team is “Providing the clients with end to end solutions within certain time frame”.

Investor Grievances Redressal Team: - When the queries which are received by Customer support team are not resolved at his level those matters are handed over to this team which is led by Mr. Subhendu Sarkar (Compliance Officer). This team are duly qualified and also well equipped to handle the issues. This team also gets the cases from exchanges directly. After receiving the grievances, this team investigates the matter thoroughly both with reference to the client grievance and employee conduct by collecting all the requisite documents like KYC, copies of contract notes, account ledger, SMS confirmation report, online trading information a BO Team report from the concerned department and conducts the basic studies and enquiries of the said grievances in the light of the documents and further makes investigation from the concerned branch / sub-broker/location from where the trades have been executed. Compliance Team also handles all the grievances forwarded through SEBI/NSE/BSE/CDSL and other sources. The usual time limit is 7 days with in which this team is bound to revert with resolution of grievances. After the enquiry the Compliance Team sends the reply either directly to the client or through the exchange (if the same has been forwarded through the exchange). After receiving the reply from the constituents and in the light of the facts and circumstances of the case it tries to satisfy the clients or to amicably resolve the grievances after clarifying all the facts in details and after conducting the personal meeting on the branch / sub-broker level. Compliance Team takes utmost care of investors in the light of the facts of each case and put its



best efforts to amicably resolve the grievances and minimize formal procedures. Most of the grievances are closed on the Compliance level. However, if the constituents are not still satisfied or matter does not get resolved, it is referred to the appropriate legal forum.