

SURESH RATHI SECURITIES PVT. LTD.

(INVESTOR COMPLAINT FLOWCHART)

FOR EXCHANGE, DEPOSITORY, RESEARCH ANALYST & MUTUAL FUND

THE CLIENT SENT COMPLAINT ON DESIGNATED E-MAIL ID 'grievance@sureshrathi.in ' FROM HIS/ HER REGISTERED EMAIL ID.



ON RECEIPT OF COMPLAINT FROM CLIENT, GRIEVANCE TEAM FORWARD COMPLAINT TO THE CONCERN DEPARTMENT BRIEFING THEM FACTS OF THE CASE AND THEIR AFTER GET COMPLAINT RESOLVED AT THE



IF COMPLAINT IS RELATED TO AUTHORISED PERSON/ BRANCH, THEN GRIEVANCE TEAM. FORWARD THE COMPLAINT TO CONCERNED INTERMEDIARY & FOLLOW UP WITH THEM FOR FINDING FACT OF THE CASE AND FOR RESOLVING THE ISSUE THE SAME AT THE EARLIEST.



GRIEVANCE TEAM RESOLVES THE ISSUE WITHIN 30 DAYS OF RECEIPT OF COMPLAINT & SEND THE WRITTEN INTIMATION TO THE CLIENT & CLOSE THE QUERY IN STIPULATED TIME PERIOD, IF CLIENT DOES NOT DO FURTHER QUERY IN THE MATTER.



IN CASE COMPLAINT IS NOT RESOLVED AT CONCERN DEPARTMENT / BRANCH/ AUTHORISED PERSON LEVEL, THEN GRIEVANCE TEAM SEEK CLARIFICATION FROM THEM & PROVIDE EXPLANATION/ REPLY TO THE CLIENT



IN CASE CLIENT IS NOT SATISFIED WITH RESPONSE/ RESOLUTION PROVIDED TO HIM/HER, THEN CLIENT MAY APPROACH TO THE RESPECTIVE REGULATORY AUTHORITY/ EXCHANGES (NSE / BSE / CDSL / AMFI)



IN CASE CLIENT IS NOT SATISFIED, THEN CLIENT MAY FILE COMPLAINT ON SCORES PORTAL

<https://scores.sebi.gov.in>



IN CASE CLIENT IS STILL NOT SATISFIED, THEN CLIENT MAY FILE COMPLAINT ON SMART ODR

<https://smartodr.in/login>