

## PROCESS FLOW FOR INVESTOR COMPLIANT

An investor/client can approach to us for his/her/their Client Services/Queries/ Complaints

### Preliminary

1. **Client Services/Queries** : Information on KYC updation, requirement of statement/contract notes, reset of password , any such other account related information.
  - An investor/client shall first contact nearest branch/relationship manager/Authorised Person
  - If not received with satisfactory reply can send an email to [qcsc@systematixgroup.in](mailto:qcsc@systematixgroup.in) to obtain the required information.
2. **Complaints** : In case investor/client comes across unauthorized trading, non-receipt of funds/securities fraudulent transfers, exorbitant charges, levy of delay payment charges, non – execution of DIS, exorbitant delay in processing of demat requests etc
  - An investor/client shall first take up his/her/their grievance at [grievance@systematixgroup.in](mailto:grievance@systematixgroup.in).
  - There would be a ticket number raised which client has to quote and refer.
  - Communications so received would be analysed, responded by legal and compliance team same to close the complaint within 15 days of receipt of complaint.

For the above, if investor/client not satisfied, they can reach us, we have also displayed our Investor Grievances escalation matrix, on our website <https://www.systematixgroup.in>

### Next Level 1

- If grievance is not redressed satisfactorily, investor/client may, escalate same through SCORES Portal <https://scores.gov.in> , in accordance with process laid out therein.

### Next Level 2

- After exhausting all available options for resolution of the grievance, if the investor/client is still not satisfied with the outcome, he/she/they can initiate dispute resolution through the ODR Portal <https://smartodr.in/login>.
- Alternatively, investor/client can initiate dispute resolution through ODR Portal if the grievance lodged with us was not satisfactorily resolved or at any stage of the subsequent escalations as aforementioned.

The above has been also explained vide a flow chart for your ease of reference

## PRELIMINARY

An investor/client can approach to us for his/her/their Client Services/Queries/ Complaints



### Client Services

A/C/KYC Updation



Reset of Password



Requirement of Statement/Contract Note & etc



Account Related Information



- An investor/client shall contact nearest Branch/relationship manager/Authorised Person
- If not received with satisfactory reply can send an email to qcsc@systematixgroup.in



### Grievances

Unauthorized Trading



Fraudulent Transfers



Exorbitant Charges



Delay Payment Charges



Others



- An investor/client shall take up grievance by lodging a complaint directly at grievance@systematixgroup.in. There would be a ticket number raised which client has to quote and refer.
- Communications so received would be analysed, responded by legal and compliance team same to close the complaint within 15 days of receipt of complaint.



### Investor Grievances escalation matrix

## NEXT LEVEL 1

- If grievance is not redressed satisfactorily, investor/client may, escalate same through SCORES Portal in accordance with process laid out therein.



### SCORES Portal

## NEXT LEVEL 2

- After exhausting all available options for resolution of the grievance, if the investor/client is still not satisfied with the outcome, he/she/they can initiate dispute resolution through the ODR Portal



### ODR Portal

- Alternatively, investor/client can initiate dispute resolution through ODR Portal if the grievance lodged with us was not satisfactorily resolved or at any stage of the subsequent escalations as aforementioned.