INVESTOR GRIEVANCE POLICY

1. All investor grievances is being handled by Compliance department at corporate office.

2. Under the SEBI directive a designated e-mail id has been created investorgrievanceredressel@rainbowindia.co.in This e-mail id would be monitored by compliance department on daily basis.

3. All Investor Grievances (hard copy or soft copy) that are received at the branches and offices of the sub-brokers, remisiers and authorized persons (herein after referred as “associates”) should after incorporating their comments /remarks if any, forwarded within 2 working days of the receipt of the complaint to the Compliance Department at corporate office for further action.

4. All the Investor Grievances received at the investorgrievanceredressel@rainbowindia.co.in and those complaints forwarded by the branches and or associates would be verified and scrutinize by the compliance department and it would initiate necessary steps to resolve the complaint within 1 -2 working days of the receipt of the complaint.

5. Any course of action which involves the concerned department at Head office it would be informed to the concerned head of the department and Business team. Likewise, if the course of action which involves branch and or associate, business team at the corporate office would be informed/updated.

6. If there is no response from concerned department or the branch and or associate within 3 working days of the complaint, the same would be escalated to Head Compliance for immediate action and if there no response within 5 working days the same would be reported to the Designated Director as in the form of an MIS reporting

7. All investor grievances should be resolved within time period of 15-30 days of the receipt of the complaint to the department.

8. More than 3 complaints received during a month from the same branch (number of complaints is subject to review depending upon the market conditions and volumes generated by the branches and or associates) Head of business would have to seek an explanation from the branch manager and keep the compliance department informed/updated.

9. All the branches and associates would maintain an investor grievance register as in the format specified as Annexures, this register would be subject to audit and inspection by the compliance officer of the company.

10. The compliance officer would ensure that it gives its sign-off only after the complaint is resolved.

Annexure 1

Format of the investor grievance register which has to be maintained at the branches and associates offices

Sr. No.	Date of the complaint received	Whether received in hardcopy or through courier	If complaint received through courier details of the courier		Name of the client	Client code	Brief Particulars of the complaint	Date of compliant sent to HO	Steps taken to resolve the complaint, after the same being received from HO-Compliance department	Date of complaint being resolved and Sign off the branch manager/sub-broker/remisier/ authorized person
			Date	POD no.						

Annexure 2

Sr. No.	Division	Location	Date of complaint recd.	Name of the sender	Client Code	Address of the complainant as per master database	e-mail id of the sender	Date of e-mail received	Subject	Action taken	Status (whether resolved/ pending)	Last e-mail dtd. for resolved status

Annexure 3

Sr. No.	Client Code	Name of the Client	Address of the Client	Complaint Against	Brief Particular	Date of receipt of complaint	Mode of Receipt	Date of Resolving	Remarks