



INVESTOR GREIVANCES REDRESSAL POLICY

INVESTOR GRIEVANCE HANDLING MECHANISM

1. INTRODUCTION

Divya Capital One Private Limited is a Private company incorporated on 30 June 2005. It is classified as Non-government company and is registered at Registrar of Companies, Ahmedabad. Registered address of Divya Capital One is Commercial Unit No. 510/511/511A, 5th Floor, Dalal Street Commercial Co-Operative Society Ltd, Xchange Plaza Block No.-53, Building No. 53E, Zone-5, Road 5E, , Gandhinagar, Gujarat, India – 382355 and Head Office of the Company at S-3 Level, Block-E, Hall no.-3, International Trade Tower, Nehru Place , New Delhi-110019.

Divya Capital One Private Limited is a Trading member of National Stock Exchange (NSE), Bombay Stock Exchange (BSE), Depository Participant registered with CDSL.

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 head office, headed by the Compliance officer. Under the SEBI directive a designated e-mail id has been created namely grievances@divyacapitalone.com and the same has been displayed on our website www.divyacapitalone.com , This e-mail id would be Monitored by compliance department on daily basis.

4. RECEIPT OF COMPLAINT

All Investor Grievances (hard copy or soft copy) that are received at the branches and offices of the authorized persons should after incorporating their comments / remarks if any, be forwarded within 2 working days of the receipt of the complaint to the Compliance Department at corporate office for further action.

All the Investor Grievances received at the grievances@divyacapitalone.com and those complaints forwarded by the branches and or APs shall 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. REVIEW OF COMPLAINT

All the investor grievances would be handled in the following manner by the compliance department namely;

- All the investor grievances (hard copy or softcopy) would be updated in Investor Grievance Register on the same day of the receipt of the complaint. This register would be monitored by the compliance officer.
- After verification and scrutiny, the appropriate steps would be initiated to resolve the complaint at the earliest.
- A monthly MIS of the complaints received, pending and or resolved would be given to the Head of Business and designated Directors of the Company.
- 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 / AP, business team at the corporate office would be informed/updated.
- 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 is no response within 5 working days the same would be reported to the Designated Director.
- All investor grievances should be resolved within time period of 15 days of the receipt of the complaint to the department.

6. INVESTOR GRIEVANCES ESCALATION MATRIX

Escalation of grievance Matrix are as following:-

Details of	Contact Person	Address	Contact No.	Email ID
Customer Care	Mr. Umesh Rai	Plot No VC-1 Prime Plaza Sec-3 Vaishali Ghaziabad-201010	0120- 4229945	cdsl@divyacapitalone.com
Head of Customer Care	Mr. Amit Raj Bisht	Plot No VC-1 Prime Plaza Sec-3 Vaishali Ghaziabad-201010	0120-4229946	dp@divyacapitalone.com
Compliance Officer	Mr. J L Sharma	Plot No VC-1 Prime Plaza Sec-3 Vaishali Ghaziabad-	0120-4229947	Compliance1@divyacapitalone.com

		201010		
CEO/Director	Mr. Sushil Kumar Jain	Plot No VC-1 Prime Plaza Sec-3 Vaishali Ghaziabad- 201010	0120-4112588	skjain@divyacapitalone.com

In absence of response/complaint not addressed to your satisfaction, you may lodge a complaint with

CDSL at <https://www.cdslindia.com/Footer/grievances.aspx> -(in case of DP transaction)

BSE at <https://bseclrs.bseindia.com/ecomplaint/frmlInvestorHome.aspx> -(in case of BSE transaction)

NSE at <https://investorhelpline.nseindia.com/NICEPLUS/> - (in case of NSE transaction)

OR

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

Please quote your Service Ticket/Complaint Ref No. while raising your complaint at SEBI SCORES/Exchange portal.

7. MAINTAINENCE OF RECORDS FOR INVESTOR GREIVANCES

All the branches and APs shall maintain an investor grievance register as in the format specified as Annexure1, this register would be subject to audit during the periodic inspection of Branch / AP.

8. SIGNING AUTHORITY

The compliance officer would ensure the regular updation and sign-off after resolution of each complaint.

9. REVIEW OF 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.