

NVS Brokerage Private Limited

INVESTOR GRIEVANCE MECHANISM

SEBI Rules, Regulations and Circular Reference No.

- **Regulation 6A (1) (e) & 26 (iv) of Stock broker regulation**

Redressal of grievances of the investors within one month of the date of receipt of the complaint.

- **MRD/DoP/Dep/SE/Cir-22/06 dated December 18, 2006**

All the brokers/sub-brokers are to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints by investors.

Maintenance of records for Investor Grievances

1. Complaint Register:

To be kept by Broker at all offices (at HO, Branch and at sub-broker's office)

2. Dedicated Investor Grievance Email ID:

To be informed to investors/clients through Welcome letter, Contract Notes and on Website.

3. Investor Grievance Handling Mechanism:

Documented Policy for Investor grievance handling to be specified for e.g. Compliance officer regularly access investor grievance e mail ID and Complaint Register to verify for the complaints if any.

Internal Audit Requirement

a	Number and value of investor complaints pending at the beginning of half year: -
b	Number and value of investor complaints received during half year
c	Number and value of investor complaints resolved during half year
d	Number & value of investor complaints pending as on the last day of half year
e	Give breakup of the pending investor complaints from branch/Head office/sub broker
f	Comment on investor grievance handling mechanism of the member.
g	Summary on nature of complaints received and action taken by the member
h	What is the duration of the longest pending investor complaint?
i	Whether specific action plan is framed by the member in respect of long pending complaints?
j	Whether designated email id for investor grievance is created and informed to the investors?
k	Whether complaints received on the designated email ID are being looked into to address the same?

Investor Redressal Mechanism

At the end of day, we checked our mail box for investor grievances and retrieve if any complaint. And we follow up with client to resolve the complaint till his satisfaction. Branch wise Register of Complaints is maintained. As we have not received any complaints. Periodically feedback by concerned officer is obtained.

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In case of long pending complaints, we immediately take follow up if there is no response from client side. Our reply and clarification goes immediately after receiving the same. If the same is outstanding at exchange side, we also call exchange official to know the status of the complaint. Our director personally attends the complaint at IGRC and arbitration.

In case of any grievance / complaint against NVS BROKERAGEPRIVATE LIMITED

☒ Compliance Officer- Ms. SALONI J SHAH

Email-id: compliance@nvsbrokerage.com and Phone No. - 91-9619126048.

☒ You may also approach CEO- Mr. NALIN V SHAH

Email-id: nalin.shah@nvsbrokerage.com and Phone No. - 91- 9322213615

☒ If not satisfied with our response, you may contact BSE at the following – www.bseindia.com
Contact No.: 91-22-22728097 Email-id: is@bseindia.com NSE www.nseindia.com Contact No.: 91-22-26598190 ignse@nse.co.in

☒ You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

Write you compliant / grievances at: investorgrievances.nvsb@gmail.com