

## **FARSIGHT SECURITIES LTD.**

**H.O.:** 17A/55, WEA, TRIVENI PLAZA,  
GURUDWARA ROAD, KAROL BAGH,  
NEW DELHI – 110 005

Policy created by	Operational staff and Compliance Officer
Policy reviewed by : Compliance Head	Policy reviewed on : 04.08.2023
Approval authority	Chairman – Dr. Naresh Maheshwari
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### **INVESTOR GRIEVANCE POLICY**

#### **Policy**

1. Handling of all investor grievances is a centralized function and is being handled by Compliance department. As per SEBI guideline a designated email id [ig@farsightshares.com](mailto:ig@farsightshares.com) has been created by the company and the same has been displayed on our website [www.farsightshares.com](http://www.farsightshares.com) . This e-mail id is being monitored by compliance department on daily basis.
2. All Investor Grievances and Complaints that are received at the branches and offices of the sub brokers, remisiers and authorized persons is being incorporated 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.
3. All the Investor Grievances received at the [ig@farsightshares.com](mailto:ig@farsightshares.com) and those complaints forwarded by the branches and or associations is verified and scrutinize by the compliance department and it is initiated necessary steps to resolve the complaint within 2 working days of the receipt of the compliance.
4. Any course of action which involves the concerned department at Head Office it is 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.
5. If there is no response from concerned department or the branch and or associate

Within 3 working days of the complaint, the same is escalated to Designated Director for immediate action.

6. All investor grievances have to be resolved within time period of 15 days of the receipt of the complaint.
7. An Investor Grievance Register is maintained. This register is subjected to audit and inspection by the Investor Grievance committee which met once in three months.

### **Procedure**

All the investor grievances is handled in the following manner by the compliance department.

- a.) All the investor grievances is updated in register on the same day of the receipt of the complaint. This register is monitored by the compliance officer.
- b.) After verification and scrutiny the appropriate steps is initiated to resolve the complaint at the earliest.
- c.) A monthly MIS of the complaints received, pending and or resolved to given to the Head of Business and designated Directors of the Company.
- d.) Compliance department will ensure that depending upon the type of the complaint, all the information i.e. from the receipt of the complaint fill the status of being resolved would be updated in the register.

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

- e.) Exchange site is also seen and updated.

Policy reviewed in Board Meeting held as on 04.08.2023

Policy Approved in Board Meeting held as on 04.08.2023