

GEE BEE SECURITIES PRIVATE LTD
POLICY FOR CLIENT GRIEVANCE HANDLING

1. OBJECTIVE

The objective of the policy is to address the grievances of the customers. 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 & timely redressed.

2. POLICY

The company has designated investor grievance email id geebeedpig@yahoo.in /grievances@geebeesec.com on which the client or investor can lodge a complaint. The designated email-id is also displayed on the Notice Boards displayed at Registered office, printed on various KYC forms etc. The company has a Compliance Department at its registered office with requisite staff strength headed by the Compliance Officer.

RECEIPT OF COMPLAINT

Gee Bee Securities Pvt Ltd can receive client complaint either directly from client - in any of the modes viz physical letters, fax, e-mail, phone and personal visit. Further, clients' complaints are also received through SCORES, Exchanges, CDSL, NSDL, Regulatory authorities, Advocates, Consumer forums etc.

Handling of all investor grievances is a centralized function and is being handled by Compliance Department at the registered office of the company.

RECORDING OF COMPLAINT

A Register of Complaints is maintained in accordance to the rules, regulations, Bye laws and directives of the Exchanges/SEBI stating complete detail of complaints including name of originating branch,sub-broker, authorized person etc. All the Investors complaints are recorded immediately in Investor Grievance Register maintained for this purpose. The Complaint received either physically or electronically by email shall be filed serially. The Compliance Officer will be responsible for receiving and recording all the Investor complaint.

It will be the duty of Compliance Officer to ensure that the complaints received from investors are redressed earliest and without delay. All the Investor Grievances received are verified and scrutinized by the compliance department. On receipt of the complaint, the Compliance Officer can seek further information

from the complainant and also seek any details/information from the concerned department/ officials for verification against allegations made in the complaint. If there is no response from concerned department/officials within 7 working days of the complaint, the same is escalated to Managing Director. The company has set a target period of maximum 30 days for redressal of any complainant and providing prompt reply to the Investor. Once the complaint is resolved /closed, the Compliance Officer gives the sign-off.

REVIEW OF COMPLAINT

The Compliance Officer regularly monitors and reviews complaints according to its nature, against a particular employee/department etc. and on the basis of such analysis, inform the management to take adequate steps to strengthen the systems. The Managing Director reviews the status of pending complaints. The Internal Auditors review grievances status on a periodic basis. A MIS of the complaints received, pending and resolved during the Quarter are placed before the Board of Directors of the company for their review and necessary advice.

MAINTAINENCE OF RECORDS

The Complaint Register will be maintained for such period as prescribed by regulatory authority.

3. REVIEW OF THE POLICY

This policy is to be reviewed as & when management thinks fit or whenever changes are mandated by statutory authorities. This policy is last updated and reviewed by Board of Directors in their meeting held on 16th June 2023.

Investor charter for understanding the Investor grievance procedure in easy way in Annexure A is provided herewith is accessible to the clients in reception area.

Annexure-A
Investor Grievance Redressal Mechanism

Dear Investor

In case of any grievance / complaint against the Stock Broker / Depository Participant:

Please contact Compliance Officer of the Stock Broker / Depository Participant Mr. Rakesh Kumar Baid / email id rakesh@geebeesec.com geebeedpig@yahoo.in / and phone no 91- 03340070831/9433002201.

If not satisfied with the response of the Stock Broker / Depository Participant, you may contact the concerned Stock Exchange / Depository at the following.

Exchange/Depository	Web Address	Contact Number	Email Id
NSE	www.seindia.com	18002660050	ignse@nse.co.in
BSE	www.seindia.com	022-22728517	dis@bseindia.com
MCX	www.mcxindia.com	022-6731888	grievance@mcxindia.com
NSDL	www.nsdl.co.in	022-24994200	relations@nsdl.co.in

Complaint may also be filed to SEBI in the following manner on their SEBI Scores Portal.

SEBI: <https://scores.gov.in/scores/Welcome.html>

Filing complaints on SCORES can be done in easy and quick steps as follows:

- a) Register on SCORES portal-Visit SCORES Portal.
- b) Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, and Email ID

Benefits of using SCORES

- a) Effective communication
- b) Speedy redressal of grievances