

**IIT Investtrust Limited**

**INVESTOR GRIEVANCE POLICY**

1. Handling of all investor grievances is a centralized function and is being handled by Compliance department at corporate office.
2. Under the SEBI directive a designated e-mail id has been created [investor.grievance@iitlgroup.com](mailto:investor.grievance@iitlgroup.com) and the same has been displayed on our website [www.iitinvesttrust.com](http://www.iitinvesttrust.com). 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 [investor.grievance@iitlgroup.com](mailto:investor.grievance@iitlgroup.com) and those complaints forwarded by the branches and or associates would be verified and scrutinized 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 the same 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 the same would be informed to such branch/associate/business team.
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 is no response within 5 working days the same would be reported to the Designated Director in the form of an MIS reporting.
7. All investor grievances should be resolved within a period of 15-30 days of the receipt of the complaint to the department.
8. In case of 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 (in the format specified in **Annexure 1**) which would be subject to audit and inspection by the compliance officer of the company.

10. All the investor grievances would be handled in the following manner by the compliance department.
  - a) All the investor grievances (hard copy or softcopy) would be updated in an investor grievance register (Hardcopy) on the same day of the receipt of the complaint. This register would be monitored by the compliance officer.
  - b) After verification and scrutiny the appropriate steps would be initiated to resolve the complaint at the earliest.
  - c) 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.
  - d) As per the exchange/depository/SEBI directives the complaint register has to be maintained in hardcopy in the format specified in **Annexure 2**, function wise i.e. Broking compliant register, DP complaint register.
  - e) Therefore, compliance department will ensure that depending upon the type of the complaint, all the information i.e. from the receipt of the complaint till the status of being resolved would be updated in the register as stated in point 10 (d).
11. The compliance officer would ensure that it gives its sign-off only after the complaint is resolved.