

INVESTOR GRIEVANCE REDRESSAL POLICY

SAMCO SECURITIES LIMITED

1. OBJECTIVE

Samco Securities Limited ("the Company") is committed to delivering high-quality and transparent services to all its investors and clients. To uphold this commitment, and in accordance with the Securities and Exchange Board of India (SEBI) regulations and guidelines, this Investor Grievance Redressal Policy outlines a robust and structured mechanism to ensure that all investor grievances are resolved efficiently, fairly, and in a timely manner. The policy is framed in line with SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, SEBI Circulars, Exchange By-Laws, and other applicable legal frameworks.

2. SCOPE OF THE POLICY

This policy covers all investor-related grievances that may arise due to a variety of services offered by the Company. It includes grievances received via telephone calls, emails, letters, SEBI SCORES portal, and stock exchanges. The scope of the policy extends to complaints pertaining to account opening and closure, order execution, non-receipt or delay of payouts or securities, unauthorized transactions, non-receipt of corporate actions, issues related to Depository Participant (DP) services, employee conduct, and any other complaints associated with investor dealings and services provided by the Company.

3. PRINCIPLES OF REDRESSAL

Samco Securities ensures that grievances are resolved in an objective, fair, and efficient manner, ensuring that no investor is denied the opportunity to be heard or their complaint addressed. The redressal mechanism is designed to maintain transparency and accountability while complying with all applicable laws and regulations. The Company emphasizes prompt action, clear communication, and process improvements based on root cause analysis of complaints.

4. GRIEVANCE REDRESSAL MECHANISM

Investors can register their complaints or queries using various channels. Complaints may be submitted via telephone, email, or written correspondence. All such grievances will be acknowledged and resolved through an internal escalation process designed to handle complaints at multiple levels. Each level of escalation is equipped to investigate and address issues based on their complexity and severity.

5. ESCALATION MATRIX

The following table outlines the multi-level grievance redressal and escalation structure at Samco Securities:

Escalation Level	Details of	Contact Person	Contact No.	Email ID	Operational Hours	Address
Level 1	Customer Care	Support Team	+91 91222 27777 / 022-4503-0450	support@samco.in	Mon–Fri, 9 AM – 6 PM IST	1004-A, 10th Floor, Naman Midtown - A Wing, Senapati Bapat Marg, Prabhadevi, Mumbai – 400 013, Maharashtra, India
Level 2	Head of Customer Care	Tapasha Nayak	022-69080511	escalations@samco.in	Mon–Fri, 10 AM – 5 PM IST	Same as above
Level 3	Compliance Officer	Mahesh Morbia	+91 91222 27777	compliance@samco.in	Mon–Fri, 10 AM – 5 PM IST	Same as above
Level 4	CEO	Jimeet Modi	022-69080513	info@samco.in	Mon–Fri, 10 AM – 5 PM IST	Same as above

6. TIMELINES FOR REDRESSAL

The Company is committed to responding to and resolving all complaints within a defined timeline to ensure prompt investor service. At Level 1, complaints shall be acknowledged and responded to within 3 working days. If unresolved, the matter will be escalated to Level 2, where it will be addressed within the next 3 working days. Levels 3 and 4 are designed to address complex or unresolved issues and aim to conclude their findings within 5 working

days from the date of escalation. Overall, the Company endeavors to resolve all grievances within 15 working days (T+15), where T is the date of receipt of the complaint.

7. REGULATORY CHANNELS FOR ESCALATION

If an investor remains dissatisfied with the resolution provided or does not receive a response within the specified timeframe, they have the right to escalate the complaint to the appropriate regulatory authority. Investors may reach out through:

- [SEBI SCORES portal](#)
- [NSE Investor Grievance Portal](#)
- [BSE Investor Grievance Portal](#)
- [CDSL for depository-related grievances](#)

These external forums provide an impartial and formal platform for complaint resolution beyond the internal redressal mechanism.

8. MONITORING AND REVIEW

All grievances and their redressal shall be recorded and reviewed regularly. The Compliance Officer is responsible for maintaining a central repository of all complaints and their resolution statuses. Regular audits and root cause analysis will be carried out to identify recurring issues, take preventive actions, and enhance the investor service framework. Periodic reports summarizing grievance statistics and resolution performance will be presented to the Board of Directors and submitted to regulatory authorities, as required.

9. DISPLAY OF POLICY

This Investor Grievance Redressal Policy shall be prominently displayed on the official website of Samco Securities and made accessible to all clients and employees. Employees dealing with investor relations shall be trained on the provisions of this policy and the protocols to be followed for effective grievance handling.

10. AMENDMENT

Samco Securities Limited reserves the right to amend, modify, or update this policy at its sole discretion based on evolving regulatory requirements or internal business needs. All changes will be approved by the Board of Directors and disseminated through appropriate communication channels. Furthermore, Samco Securities reserves the right to revise the contents of this policy and make changes to the information displayed on its website without any prior notice to clients or stakeholders.