

# **SHARDA COMMODITIES PVT. LTD.**

201, SANGHI MANOR 6/2, Y.N. ROAD INDORE - 452001

Ph. - 0731 4042642, 4200561

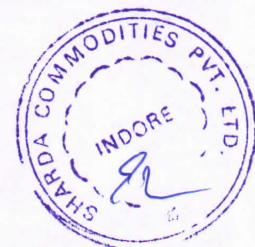
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## **Investor Grievance at SHARDA COMMODITIES PVT. LTD.**

A Brief Note on investor grievances handling Mechanism Prevalent in SHARDA COMMODITIES PVT. LTD., founded in INDORE is India's one of the renowned name for our client care and complete transparency. We are broker having transparent and fair systems in place to provide trouble free services. It is our sincere endeavor to provide best of industry services to our customers. Since our conscience is clear, hence we always welcome the issues raised and suggestions made by the clients because it is only they for whose benefit and protection the systems and regulations are made.

Our step wise method is as under:-

- We individually aware every client and from time to time to educate the clients about the does and don'ts of the Market.
- We make sufficient disclosures of investment risks and satisfy queries of the clients who are interested to trade through us before signing a well drafted Member Constituent Agreement, which is framed according to the Circular/guidelines by SEBI. After signing of the said agreement, a Unique Client Code is assigned to each client and uploaded with the Exchange as well.
- Immediately on opening of account we provide copy of KYC and send Welcome letter to every client to familiarize him with his account details, and register their Email ID's & Mobile No's with exchanges, which enable him to be aware of all his trade related information apart from Information we provide them.
- clients can either mail or also call us regarding any information, query, inquiry or even grievance. We advise the clients on correct procedures and arrange to get the information provided or grievances resolved expeditiously by/with the concerned persons in the company.
- Contract notes are dispatched daily and account statements are sent regularly to all clients with a request that if they find any discrepancy they may call us or write to us within 24 hours of receipt. Still queries are not discouraged on ground of delay.
- In addition to that Duplicate contract notes are instantly supplied to clients on their request if they require it again
- Clients can verify their trades on exchange website through the Trade details mentioned in statement provided
- Confirmation of trades and ledger balance is conveying personally to client on phone also.



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- We also make random confirmation from clients that they are receiving all the above documents and information.

Existing Mechanism to address Investor Grievances: In this attempt we have a well defined mechanism in place which is layers to respond and address the Grievances of clients. Any query, need for information or grievance minor or major by Customers is received by Compliance officer. We have e-mail Id gksharda@yahoo.co.in for online and offline customers which are sufficiently displayed and disseminated by us on website, contract note, KYC kit. Our Compliance officer has vast adequate and relevant experience to handle the customer care issues. Compliance officer provides assistance and guidance to the clients for their queries / grievances and resolving requests and complaints received from clients. The other responsibilities taken care of by the Compliance officer include assistance provided to the clients with the back office software access to them for viewing day to day transactions reports, and other reports that may be required by the clients.

We can also get the cases from exchanges directly. After receiving the grievances, Compliance officer will understand the matter thoroughly both with reference to the client grievance and employee conduct by collecting all the requisite documents like KYC, copies of contract notes, account ledger, confirmation report, trading information from the concerned department and conducts the basic studies and enquiries of the said grievances in the light of the documents and further makes investigation from the concerned person from where the trades have been executed. Compliance officer also handles all the grievances forwarded through SEBI/MCX/NCDEX and other sources. The usual time limit is 7 days with in which this team is bound to revert with resolution of grievances. After the enquiry the Compliance officer sends the reply either directly to the client or through the exchange (if the same has been forwarded through the exchange). After receiving the reply from the constituents and in the light of the facts and circumstances of the case it tries to satisfy the clients or to amicably resolve the grievances after clarifying all the facts in details and after conducting the personal meeting. We take utmost care of clients in the light of the facts of each case and put its best efforts to amicably resolve the grievances and minimize formal procedures. Since we are having a very small client base we have not received any grievance since the business started. However, if the constituents are not satisfied or matter does not get resolved, it will refer to the appropriate legal forum.

