

Client Grievance Redressal Mechanism

Clients are the life blood of business and every effort is made by the company to serve the clients properly. However, clients may have certain grievances and they may want to lodge the complaint. Resolution of client grievance on an urgent and immediate basis is our first priority. The clients may raise the complaint for many reasons: -

- a) Excess fee/charge levied
- b) Investment advice not linked with Risk profile of the client
- c) Non receipt of documents
- d) Not getting proper information
- e) Proper service not provided
- f) Advisor acted in Conflict of interest etc.

We view customer complaint very seriously and we have the target of keeping client complaint to Zero or bare minimum. In case of any grievance / complaint, a client may approach the us on which we shall strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance. We have formed Grievance Escalation Matrix which is available in our Website. In spite of all the precaution & efforts, there may be cases of client complaint which shall be attended immediately. Our Investor grievance redressal mechanism is as below:-

- The client may complaint either verbally over phone, through registered e-mail id or by sending letter for the same. Sometimes the client does not raise complaint with us and lodge complaint directly with the SEBI.
- The company has created an e-mail id ig@narnolia.com for reporting of client complaint. In case any client wants to lodge complaint through e-mail then it can be lodged at the aforesaid e-mail id. This email id is accessed by Compliance officer & director of the company. The client is informed about the e-mail id by mentioning the same in our website.
- The company has the system of recording each and every complaint in its complaint register. The complaints of the clients are handled by compliance officer/authorised signatory. Each complaint either through mail or verbal or through written letter is written in the complaint register.
- As soon as the complaint is lodged, the compliance officer shall investigate the matter and analyse the facts and circumstances of the cases. Based on all the finding a reply is given to the client. The complaint is replied within reasonable time not exceeding one month.

Corporate Office (Mumbai): 803, A Wing, Kanakia Wall Street, Andheri Kurla Road, Andheri (E), Mumbai - 400 093

SEBI Registration: INA300005439 **BASL Membership No.:** 1020 (Non-Individual) **Validity:** Permanent

Principal Officer: Mr. Sanjeev Damani, **Contact No.:** 022 6270 1200, **Email id:** compliance@narnolia.com

Grievance Officer: Rana Debnath, **Contact No.:** 022 6270 1200, **Email id:** ig@narnolia.com

SEBI Regional Office: L&T Chambers, 3rd Floor, 16, Camac Street, Kolkata - 700 017

Registration granted by SEBI, membership of BASL and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors.



- Every effort is made to satisfy and clarify the client by personal meeting at mutually convenient time. The grievance of the client is understood and every effort is made to resolve the same amicably to the satisfaction of the client.

- Escalation clause:-

The compliance officer investigates into the matter and after analysing all the facts and circumstances of the case give appropriate reply. The compliance officer replies within 15 days of receipt of the complaint. However, in case the complaint is not replied by the compliance officer within 15 days from the date of receipt of complaint then the same is escalated to director who then takes necessary steps for resolving the complaint.

- In case the client is satisfied or no further communication is received after a reasonable period then the matter is closed. However, in case the client approaches SEBI or in case the complaint is directly forwarded by the SEBI then the reply is given within the due time as mentioned by the SEBI.
- The client is duly informed about SEBI Scores website and ODR (Online Dispute Resolution) platform through which the client can lodge the complaint.
- A client grievance register is maintained wherein the details of complaint lodged are recorded. The register contains details regarding complaint received from direct client/SEBI, email id, client name, receipt date, reply date, nature of complaint, disputed amount, settled amount.
- The complaints status is displayed on our website on monthly basis within 7 days of end of previous month.

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