

## INVESTOR GRIEVANCE POLICY

LKP has framed below mentioned policy as per process of handling Investor Grievance.

Under the SEBI directive a designated e-mail id has been created [grievance@lkpsec.com](mailto:grievance@lkpsec.com) & [helpdesk@lkpsec.com](mailto:helpdesk@lkpsec.com) and the same has been displayed on our website [www.lkpsec.com](http://www.lkpsec.com). This e-mail id would be monitored by helpdesk and compliance department on daily basis.

1. An Investor/Client can make his/her complaint through email or letter to the LKP or Investor make complaint through exchange.
2. The Investor/Client can make a written complaint through letter and sent it or hand delivered to LKP's Head Office or branch office.
3. Handling of all investor grievances is a centralized function and is being handled by Compliance department at head office; LKP has sufficient team and capable staff to handle all investor grievances.
4. The LKP has also developed online grievance which available on the LKP's website [www.lkpsec.com](http://www.lkpsec.com) through which an investor can make a complaint.
5. All the Investor Grievances received in writing at head office or at the [grievance@lkpsec.com](mailto:grievance@lkpsec.com) & [helpdesk@lkpsec.com](mailto:helpdesk@lkpsec.com) would be verified and scrutinize by the helpdesk team and compliance department and it would initiate necessary steps to resolve the complaint within 1 - 7 working days of the receipt of the complaint by them.
6. A correspondence either by letter or e-mail shall be made with the investor who has submitted written complaints acknowledging receipt of the complaint.
7. The LKP shall follow the practice of resolving the investor complaint within 1-7 days of receipt of the same.
8. The Status of receipt, redressal and pendency of all the complaints shall be placed before the Board of Directors on the quarterly basis.
9. All the investor complaints/grievance received through SEBI by online "SEBI Complaints Redress System" (Scores) / NSE -ENIT and BSE - BEFS shall be checked regularly and replied/resolved expeditiously.
9. All the investor grievances shall be handled in the following manner by the compliance department:
  - a) All the investor grievances (hard copy or softcopy) shall be updated in an excel register (softcopy) as in the format specified in Annexure-1 on the same day of the receipt of the complaint. This register should be monitored by the compliance officer.
  - b) After verification and scrutiny, the appropriate steps should 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 designated Directors of the LKP.
  - d) As per the exchange/ depository/ SEBI directives the complaint register has maintained by us.
  - e) Therefore, compliance department shall 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.
- 10) The compliance officer should ensure that it gives its sign-off only after the complaint is resolved

The policy shall be amended from time to time under the directions of SEBI and Exchanges. All stakeholders shall ensure to adhere to the policy norms under all circumstances.

**For LKP Securities Ltd**

**Authorized Signatory**