



INVESTOR'S GRIEVANCE REDRESSAL MECHANISM

1. OBJECTIVE

The objective of the policy is to address the grievances of the customers. One of the core value of our company is "Customer first" and we ensure that customers are satisfied with the services rendered by us. This policy has been formulated in order to ensure that grievances of the customers are effectively & timely redressed.

2. POLICY

The company has a separately investor grievances email id helpdesk@9star.in on which the client or investor can lodge a complaint. The designated email-id is displayed on the website of the Company www.9star.in and printed prominently on the Notice Boards displayed at the Branch, and Authorised Person's office, printed on various KYC forms, contract notes, holding statements and other communications sent to Clients. The company has a Compliance Department at its corporate office with requisite staff strength headed by the Compliance Officer.

3. RECEIPT OF COMPLAIN

9 STAR BROKING can receive client complaint either directly from client - in any of the modes viz physical letters, fax, e-mail, phone and personal visit. Alternatively, complaint can also be raised through our website by visiting 9star.in. The entire process for filing a complaint along with flowchart defining the stages of complaint redressal can be accessed on <https://www.9star.in/static/reach-us.aspx> link.

Further, clients' complaints are also received through SCORES, Regulatory authorities, Advocates, Consumer forums etc.

Handling of all investor grievances is a centralized function and is being handled by Compliance Department at the Corporate office of the company.

4. RECORDING OF COMPLAIN

A Register of Complaints is maintained in accordance to the rules, regulations, Bye laws and directives of the Exchanges/SEBI stating complete detail of complaints including name of originating branch, authorized person etc. All the Investors complaints are recorded immediately in Investor Grievance Register maintained. The Complaint received either physically or electronically by email shall be filed serially. The Compliance Officer will be responsible for receiving and recording all the Investor complaint.

NINE STAR BROKING PVT LTD

Corporate Office : 112, Parvati Shiv Kripa Tower, 1st A-B Road, Sardarpura, Jodhpur - 342003, Rajasthan.

Registered Office : DBS Business Centre, DBS House 10/2 Hungerford Street - KOLKATA - WB 700017 IN

CIN : U74992WB2010PTC152503

Phone +91-291-7160000

+91-291-2449999

Web : www.9star.in | Email : info@9star.in

5. HANDLING OF COMPLAINT

It will be the duty of Compliance Officer to ensure that the complaints received from investors are redressed earliest and without delay. All the Investor Grievances received are verified and scrutinized by the compliance department. On receipt of the complaint, the Compliance Officer can seek further information from the complainant and also seek any details/information from the concerned department/ officials/Authorised Person for verification against allegations made in the complaint. If there is no response from concerned department/officials/Authorised Person within 7 working days of the complaint, the same is escalated to CEO. The company has set a target period of maximum 15 days for redressal of any complainant and providing prompt reply to the Investor. Once the complaint is resolved/closed status of the same is recorded in complaint register.

6. REVIEW OF COMPLAINT

The Compliance Officer regularly monitors and reviews complaints according to its nature, originating branch, against a particular employee and/or authorized person etc. and on the basis of such analysis, inform the management to take adequate steps to strengthen the systems. The CEO reviews the status of pending complaints. The Internal Auditors review grievances status on a periodic basis. A MIS of the complaints received, pending and resolved during the Quarter are placed before the Board of Directors of the company for their review and necessary advice.

7. MAINTAINENCE OF RECORDS

The Complaint Register will be maintained for such period as prescribed by regulatory authority.

8. REVIEW OF THE POLICY

This policy is to be reviewed as & when management thinks fit or whenever changes are mandated by statutory authorities.

9. ESCALATION MATRIX

i. If a customer is not satisfied with the resolution provided by the Company in the aforesaid specified period, the customer can escalate the issue as per below table-

Details of	Contact Person	Address	Contact No	Email Id	Working Hours
Client Servicing	Rakesh Malviya	112, Parvati Shiv Kripa Tower, 1st A-B Road, Sardarpura Jodhpur - 342003, Rajasthan	9610282999	helpdesk@9star.in	(Monday to Saturday 10.00 am to 01.30 pm and 2.00 pm to 6.00 pm.)
Head of client servicing	Ishwar Sharma	112, Parvati Shiv Kripa Tower, 1st A-B Road, Sardarpura Jodhpur - 342003, Rajasthan	9828935999	dp@9star.in	

Details of	Contact Person	Address	Contact No	Email Id	Working Hours
Compliance Officer	Kapil Rath	112, Parvati Shiv Kripa Tower, 1st A-B Road, Sardarpura Jodhpur - 342003, Rajasthan	9828705999	kapil.rathi@9star.in	
CEO	Rajesh Mundra	112, Parvati Shiv Kripa Tower, 1st A-B Road, Sardarpura Jodhpur - 342003, Rajasthan	9828859999	rajeshmundra@9star.in	

If at any point a conflict of interpretation / information between the Mechanism and any regulations, rules, guidelines, notification, clarifications, circulars, master circulars/ directions issued by relevant authorities ("Regulatory Provisions") arises, then interpretation of the Regulatory Provisions shall prevail.

10. Online Dispute Resolution Portal ("ODR Portal")

The existing dispute resolution mechanism in the Indian securities market is being streamlined under the aegis of Stock Exchanges and Depositories (collectively referred to as Market Infrastructure Institutions (MIIs)), by expanding their scope and by establishing a common Online Dispute Resolution Portal ("ODR Portal") known as **SMART ODR Portal** {hyperlink: <https://smartodr.in>} (**Securities Market Approach for Resolution Through ODR Portal** which harnesses online conciliation and online arbitration for resolution of disputes arising in the Indian Securities Market.

➤ When to initiate ODR Portal?

1. An investor/client shall first take up his/her/their grievance with the Market Participant by lodging a complaint directly with the concerned Market Participant. If the grievance is not redressed satisfactorily, the investor/client may, in accordance with the SCORES guidelines, escalate the same through the SCORES Portal in accordance with the process laid out therein. After exhausting these options for resolution of the grievance, if the investor/client is still not satisfied with the outcome, he/she/they can initiate dispute resolution through the ODR Portal.
2. The concerned Market Participant may also initiate dispute resolution through the ODR Portal after having given due notice of at least 15 calendar days to the investor/client for resolution of the dispute which has not been satisfactorily resolved between them.
3. The dispute resolution through the ODR Portal can be initiated when the complaint/dispute is not under consideration in terms of the paragraph 1 above or SCORES guidelines as applicable or not pending before any arbitral process, court, tribunal or consumer forum or are non-arbitrable in terms of Indian law (including when moratorium under the Insolvency and Bankruptcy Code is in operation due to the insolvency process or if liquidation or winding up process has been commenced against the Market Participant).
4. The dispute resolution through the ODR Portal can be initiated when within the applicable law of limitation (reckoned from the date when the issue arose/occurred that has

NINE STAR BROKING PVT LTD

Corporate Office : 112, Parvati Shiv Kripa Tower, 1st A-B Road, Sardarpura, Jodhpur – 342003, Rajasthan.

Registered Office : DBS Business Centre, DBS House 10/2 Hungerford Street - KOLKATA - WB 700017 IN

CIN : U74992WB2010PTC152502

Phone +91-291-7160000

+91-291-2449999

Web : www.9star.in | Email : info@9star.in

resulted in the complaint/date of the last transaction or the date of disputed transaction, whichever is later).

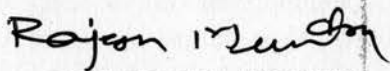
B) Raising a Complaint through ODR Portal:

A complaint/dispute initiated through the ODR Portal will be referred to an ODR Institution empaneled by a MII and the allocation system on a market-wide basis will be a round robin system to govern the allocation of each such dispute among all such empaneled ODR Institution.

A link to ODR portal is <https://smartodr.in/login>

This policy has reviewed and approved in Board Meeting held on 11/10/2024.

For NINE STAR BROKING PRIVATE LIMITED


DIRECTOR/AUTH. SIGNATORY

Rajesh Mundra
Director (00190853)

Place- Jodhpur

NINE STAR BROKING PVT LTD

Corporate Office: 112, Parvati Shiv Kripa Tower, 1st A-B Road, Sardarpura, Jodhpur – 342003, Rajasthan.

Registered Office: DBS Business Centre, DBS House 10/2 Hungerford Street - KOLKATA - WB 700017 IN

CIN: U74992WB2010PTC152502

Phone +91-291-7160000

+91-291-2449999

Web: www.9star.in | Email: info@9star.in