

DIMENSION FINANCIAL SOLUTIONS PRIVATE LIMITED

INVESTOR GRIEVANCE REDRESSAL MECHANISM

Introduction:

Dimension Financial Solutions Private Limited (“**the Company**”) believes that Investor service is vital element for sustained business growth and for better corporate governance. The Company’s approach is to treat and service all Investors’ consistently and fairly. The Company endeavors to redress all grievances/ complaints, in a reasonable time and satisfactory manner. Investor grievances/complaints constitute an important voice of Investor and thus a structured grievance redressal framework is important.

Grievance redressal is supported by a review mechanism, to minimize the recurrence of similar issues in future. The Company realizes that quick, effective handling and resolution of Investors’ grievances is essential. This mechanism shall ensure that all grievances/complaints shall be heard and the response would be shared for such grievances/complaints. The Investor Redressal Mechanism of the Company is based on the following principles:

1. Investors are treated fairly at all times.
2. Grievances/Complaints raised by Investors are dealt with courtesy and in a timely manner.
3. Grievances/Complaints are treated efficiently and fairly.
4. The employees and management of the Company work in good faith and towards the interests of the Investors.

Applicability and Objective:

SEBI (Stock-Brokers) Regulations, 1992 mandates implementation of Investor Grievance Mechanism by all the Stock Brokers to address the complaints/ grievances of any of its investors. Accordingly, in view of the regulatory requirement and to ensure prompt resolution, the Company has laid down the appropriate Grievance Redressal Mechanism to resolve grievances/ complaints of its investors.

All Investor grievances/complaints registered with the Company shall be reviewed, monitored and resolved in compliance with the provisions of the applicable laws. The focus shall be, to ensure all grievances are resolved in a timely basis and to the full satisfaction of the investors.

The Company has designated the Compliance Officer appointed under SEBI (Stock Brokers) Regulations, 1992, as Investor Grievance Redressal Officer, who can be approached in case of any grievance/ complaint.

Definition:

- a. “**Act**” means Securities and Exchange Board of India Act, 1992, as amended from time to time.
- b. “**Board**” means Board of Directors of the Company.
- c. “**Client**” or “**Investor**” means any Person who uses/ avails the Services of the Company.
- d. “**Company**” means Dimension Financial Solutions Private Limited.
- e. “**Online Bond Platform**” means any electronic system, other than a recognised stock exchange or an

electronic book provider platform, on which the debt securities which are listed or proposed to be listed, are offered and transacted.

- f. **“Grievance”** means any written grievance or complaint related to the transaction of buying or selling of securities through the online bond platform of **Dimension Financial Solutions Private Limited** in its capacity as a Stock Broker and/or its authorized representatives.
- g. **“Investor Grievance Redressal Officer”** means the Compliance Officer appointed under the provisions of SEBI (Stock Brokers) Regulations, 1992.
- h. **“Stock Brokers Regulations”** means SEBI (Stock Brokers) Regulations, 1992, as amended from time to time.
- i. **“Mechanism”** means Investor Grievance Redressal Mechanism of the Company.
- j. **“SEBI”** means Securities and Exchange Board of India.

Wherever appropriate in this Mechanism, a singular term shall be construed to mean the plural where necessary and a plural term the singular. Similarly, any masculine term shall also be construed to mean the feminine or any other gender and vice versa.

Words or phrases not defined above or anywhere in this Mechanism shall have same meaning ascribed to them under the Act or Stock Brokers Regulations or Circulars notified by SEBI.

Steps for handling Investor Grievances:

1. The procedure and actions mentioned in this mechanism shall only be applicable for categories of complaints listed in **“Annexure - I”** and shall lodge the Complaint on the below given email ids in the prescribed format as specified in **“Annexure - II”**.
2. The Company has a designated email id i.e. investor.grievance@dimensiongroup.co.in for handling investor grievances on which investors can submit his/her grievances/complaints.
3. Also, an Investor shall submit a written grievance/complaint marking it to the Investor Grievance Redressal Officer at our corporate office situated at Dimension Tower, Plot No-10, 3rd Floor, Commercial Area, Kaushambi, Ghaziabad, U.P-201010.
4. The Investor Grievance Redressal Officer tracks the grievances/complaints received on the designated e-mail ID or through any other mode on a regular basis.
5. The Investors who wish to lodge a complaint on SCORES 2.0 (complainant) are required to register themselves on <https://scores.sebi.gov.in/> - Easy & quick by clicking on “Sign Up” and selecting the category as “Investor”. While filing the registration form, details like Name of the investor, Permanent Account Number (PAN), Contact details, Email id, etc. are required to be provided.
6. Benefits of filing of Complaints on Scores - Effective Communication and Speedy Redressal of the grievance.

7. The Investor may contact the Investor Associations (IAs) recognized by SEBI for any assistance in filing complaints on SCORES 2.0. The list of IAs is available on SEBI website (www.sebi.gov.in) (*Path – Home » Intermediaries/ Market Infrastructure Institutions » Recognised Intermediaries » Recognised Investors Associations*). Investors may also seek assistance in filing complaints on SCORES 2.0 from SEBI's toll free helpline number 1800 266 7575.
8. In order to enhance ease, speed and accuracy in the redressal of grievance, the complaint shall be lodged on SCORES 2.0 within one year from the date of cause of action, where the Complainant approached the Company for redressal of the complaint and the Company rejected the complaint or the complainant has not received any reply from the Company or the complainant is not satisfied with the reply received or the redressal by the Company.
9. The Investor Grievance Redressal Officer gathers all information available on the grievance/complaint which is considered necessary for a proper investigation. He looks into all the necessary information and undertakes to resolve them as soon as possible.
10. To enhance investor satisfaction on complaint redressal, 'First & Second Review' is also available under online resolution mechanism, wherein a complainant, if not satisfied with the redressal of grievance by the Company & opts for review within 15 calendar days from the receipt of Action Taken Report (“ATR”) from the Company/Designated body or there is no response from the Company/ Designated body within the stipulated timeline.

Resolution mechanism for Offline Complaints:

Any investor who wishes to report any grievance/complaint shall submit the same in the prescribed format as specified in “Annexure III” to below mentioned Officer/Email id:

Investor Grievance Redressal Officer,
Neha Sharma
Company Secretary
Dimension Tower, Plot No-10, 3rd Floor,
Commercial Area, Kaushambi, Ghaziabad, U.P-201010.
Phone No.: 0120-4151349
Email Id: investor.grievance@dimensiongroup.co.in

If not satisfied with the response of the Investor Grievance Redressal Officer:

In case, the Client does not receive a response or if the Client is dissatisfied with the response received from the Investor Grievance Redressal Officer, the Client may escalate the complaint to the next level Officer as indicated below:

Director
Dimension Tower, Plot No-10, 3rd Floor,
Commercial Area, Kaushambi, Ghaziabad, U.P-201010.
Phone No.: 0120-4151349
Email Id: compliance@dimensiongroup.co.in

Annexure – I – “Nature of Complaints”

1. Account opening/ closing/ suspension related
2. Closing off/ squaring up position without consent
3. Technical glitches/outage/connectivity/system related problem
4. Delay in receipt of securities
5. Non-receipt of securities
6. Dispute in Auction value / close out value
7. Excess brokerage
8. Improper Service
9. IPO Application related
10. Mis-appropriation of client's funds / securities
11. Non implementation of IGRC recommendation / arbitration award
12. Non-receipt/delay in receipt of Funds
13. Non-execution of order
14. Non-receipt of documents(Contract notes, Account statements and other bills)
15. Non-receipt of corporate benefits
16. Unauthorized trades in client's account
17. Wrong execution of order
18. Assured return being offered
19. Non updation of address /Signature or Corrections etc
20. Non-receipt of Bonus
21. Non-receipt of Dividend
22. Complaints of any other nature as may be notified under applicable regulations from time to time

Annexure – II – “Complaint/ Grievance Form”

Name of the Investor/ Complainant	
Permanent Account Number (“PAN”)	
DP & Client ID/ Folio Number	
Communication address	
Mobile Number	
Email Address	
ISIN of the Securities	
Details about the complaint/ grievance	
Attachments, if any	

Note:

- 1. All the fields are mandatory, until specified otherwise**
- 2. The Company shall promptly respond to the investor/ complainant confirming the receipt of grievance/ compliant**