

POLICY NOTE
ON
INVESTOR GRIEVANCE REDRESSAL POLICY

Globe Capital (IFSC) Limited

PURPOSE

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 and impartially addressed.

POLICY

The company has a designated investor grievances email id igr@globecapital.com and investor_trading@globecapital.com on which the client or investor may lodge a complaint. The designated email-id shall be displayed on the website of the Company i.e. www.globecapital.com, on the Notice Boards at the Branch, printed on all KYC forms, contract notes, holding statements and other communications sent to Clients.

RECEIPT OF COMPLAINT

Client can lodge their complaint, grievances directly by various mode of communications viz physical letters, fax, e-mail, phone and personal visit etc,. Apart from above, Client may route their complaint through Regulatory Authorities, Advocates, Consumer forums etc. Handling of all investor grievances is a centralized function and is being handled by Compliance Officer.

On receipt of the complaint, Compliance officer verify, scrutinize, investigate and take all necessary steps to resolve the complaint within 1 -2 working days from the receipt of the complaint/grievance.

On the basis of complainant, if any course of action/updation/improvement required so as improving the quality of services rendered to the clients, is duly complied with. Likewise, if the course of action which involves branch and by the concerned department of Head Office, or associate, business team at the corporate office are also informed/updated.

An utmost effort is taken to redress the grievances within time period of 1-7 days of the receipt of the complaint.

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All the branches shall maintain an investor grievance register as per the prescribed format; this register shall be subject to audit and inspection by the compliance Officer of the company.

CUSTOMER CARE DEPARTMENT

We have set up a dedicated Customer Care Team in our Head Office who interacts with the clients to provide them with information to address inquiries regarding products and services. In addition, they deal with and help resolve any customer complaints. For instance, a customer representative may assist them to resolve their problem at the initial stage. Usually, customer service representatives gather their information via a telephone call.

Apart from above, Customer Care Department have dedicated/separate email id to receive the Customer queries/complaint. It is automatically acknowledged and the interaction number is generated for future reference and the same is escalated to the concerned department and to the Legal & Compliance Department for their further necessary action.

Handling Problems

Customer inquiries often involve some form of complaint that the customer service representative must handle in accordance with the company's guidelines and policies. Sometimes, the representatives may attempt to solve the problems or at least propose some solutions. Customer service representatives make sure first that the complaints made are valid and must do whatever they can within the bounds of their authority and to make sure the customer is satisfied.

RECORDING OF COMPLAINT

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. All the Investors complaints are recorded immediately

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in Investor Grievance Register maintained at the corporate office. The Compliance Officer shall be responsible for maintaining the records of all the Investor complaint.

REVIEW OF COMPLAINT

The Compliance Officer regularly monitors and reviews complaints according to its nature, against a particular employee etc. and on the basis of such analysis, inform the management to take adequate steps to strengthen the systems.

The Director reviews the status of pending complaints on regularly basis. In case of any seriousness in the matter, it is promptly attended to by the Management. The Internal Auditors review grievances status on a periodic basis. A status of the complaints received, pending and resolved during the Quarter is placed before the Board of Directors of the company for their review and necessary advice.

MAINTAINENCE OF RECORDS The Complaint Register are maintained for such period as prescribed by regulatory authority.

TRAINING PROGRAMME

Training programme are regularly conducted in the Company to address/educate/update the concerned staff at Head Office/Branches with respect to compliance of latest policies of Regulatory Authorities and to apprise them about the nature of complaints received and seek their feedback/view/way outs with sole aim to minimise or end such complaints.

REVIEW OF THE POLICY This policy is to be reviewed/modified as and when management/inter audit thinks appropriate or whenever changes are mandated by statutory authorities.