



DALAL & BROACHA
STOCK BROKING PVT. LTD.

Investors' Grievance Redressal Policy

As a constant endeavour to provide best investment experience and as a part of good governance measure, Dalal & Broacha Stock Broking Pvt. Ltd. (D&B) has developed comprehensive investor Grievance Mechanism which is depicted in this policy.

D&B has a dedicated email id compliance_officer@dalal-broacha.com on which clients can email their complaints/queries.

PMS clients can address their complaints/ queries to pms@dalal-broacha.com. Additionally, they can address / escalate their complaints/ queries to id compliance_officer@dalal-broacha.com

Details of the same are also updated on our web portal <https://www.dalal-broacha.com>

We have also made clients aware about process and benefits of filing complaint on SEBI's SCORES portal by giving direct link of SCORES on our website. Same is also given to clients as a part of welcome kit and Account Opening Form. Investor grievance escalation matrix is placed on website of D&B under contact us tab giving all the important details.

Grievances raised at branch level or at authorized person level is escalated to HO-Compliance Department immediately and it is resolved within 15 days of receipt of the same. Grievances received from regulators are replied along with the supporting documents, if any, within the prescribed time limit to regulator.

A separate Grievance Register is maintained to record Complaints received either by email / by letter/ in person. As per company policy, we D&B give utmost importance to grievances received and our endeavour is to reply to the client by at most by next day. Under exceptional circumstances (where we need to collect data from various places /sources) or where further clarification is required, reply is served within 7 working days. Complaint resolution time limit is kept as 15-30 days internally.

Clients may also contact on telephone No.: 022-67141441/022-67141459/022-67141468 and talk to customer service representative or compliance manager for further assistance. Name of the Compliance Officer along with the email id to register the complaint has also been displayed on contract note, notice Board.

Nailesh P. Dalal

Nailesh P. Dalal
Designated Director



Vipul P. Dalal

Vipul P. Dalal
Designated Director



DALAL & BROACHA

STOCK BROKING PVT. LTD.

Investor Grievance Escalation Matrix:

Details of	Contact Person	Address	Contact No.	Email Id	Operational/ Working Hours
Customer care	Ms. Rajasi Sawant	506, Maker Chambers V, 221, Nariman Point. Mumbai - 400 021	022 - 67141441	info@dalal-broacha.com	Monday to Friday 9.30 a.m. to 5.30 p.m.
Head of Customer care	Ms. Megha Lath		022 - 67141422	megha.lath@dalal-broacha.com	Monday to Friday 9.30 a.m. to 5.30 p.m.
Investor relation officer for PMS Clients	Ms. Aarti Pawar		022 - 67141459	pms@dalal-broacha.com	Monday to Friday 9.00 a.m. to 5.00 p.m.
Compliance Officer	Mr. Praful Trivedi (Broking services)		022 - 67141468	compliance.officer@dalal-broacha.com	Monday to Friday 9.30 a.m. to 5.30 p.m.
	Mr. Shivram Masaye (DP)		022 - 67141423	cgs@dalal-broacha.com	
CEO	Mr. Nailesh P Dalal		022 - 67141401	nailesh.dalal@dalal-broacha.com	Monday to Friday 10.00 a.m. to 5.30 p.m.
Principal Officer	Mr. Nailesh P Dalal		022 - 67141401	nailesh.dalal@dalal-broacha.com	Monday to Friday 10.00 a.m. to 5.30 p.m.

In absence of a response/complaint not addressed to your satisfaction, you may lodge a complaint with:

- SEBI at <https://scores.sebi.gov.in>
- BSE at <https://bsecre.bseindia.com/ecomplaint/frmlInvestorHome.aspx>
- NSE at <https://investorhelpline.nseindia.com/NICEPLUS/>
- CDSL at <https://www.cdslindia.com/Footer/grievances.aspx>

Please quote your Service Ticket/Complaint Ref No. while raising your complaint at SEBI SCORES/ Exchange portal /Depository portal.

07

