

PROCEDURE FOR FILING AND DISPOAL OF COMPLAINT

1. Investor/ Client can file a Complaint/ Grievance with Sushil Financial Services Private Limited (SFSPL) at compliance@sushilfinance.com
2. Upon receiving the Complaint, SFSPL acknowledges the receipt of the complaint by raising a ticket. Investor/ Client shall receive an e-mail on the registered e-mail address notifying the ticket number for the complaint filed with SFSPL.
3. A detailed analysis of the complaint shall be carried out by SFSPL.
4. The complaint shall be redressed within 21 days from the date of the receipt of the Complaint and a reply will be sent to the Client/ Investor on the registered e-mail address.
5. The Client/ Investor shall be notified that the Complaint/ Grievance so raised is closed.
6. The Client can also raise complaint on SCORES Portal. The Client will have to register on link <https://scores.sebi.gov.in> Once Client has filed a complaint on SCORES, we shall review the grievance and file ATR on SCORES within 21 days.
7. If Client is not satisfied with the ATR filed by SFSPL then the Client can express dissatisfaction and escalate the Complaint for **First Review**. Exchange shall further investigate the matter and file ATR.
8. If Client is not satisfied with the ATR filed by Exchange (BSE/ NSE) then the Client can express dissatisfaction and escalate the Complaint for **Second Review**. SEBI shall review the matter and file ATR.
9. If Client is not satisfied with the ATR filed by SEBI then the Client will have to file a complaint on a SMART ODR portal (Securities Market Approach for Resolution Online Dispute Resolution). Client will have to register on SMART ODR as Investor.
10. Once the Complaint is filed on SMART ODR, a conciliator shall be appointed who shall review the complaint and hold a joint meeting between SFSPL, Client, Exchange and Conciliator. The Conciliator shall aim to resolve the matter amicably and close the complaint.
11. In case the Conciliation is unsuccessful, the Client can pursue for online Arbitration. ODR Institution shall appoint an Arbitrator. The Arbitrator shall hear the matter and issue the Arbitral Award which shall be binding upon both the Parties.

File Complaint/ Grievance at compliance@sushilfinance.com



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Client shall be notified that the Complaint/ Grievance so raised is closed



If Client is dissatisfied, then Client can register a complaint on **SCORES Portal** <https://scores.sebi.gov.in>. SFSPL shall file an ATR



If Client is dissatisfied, then Client can pursue for **First Review**. Exchange shall review the matter and file an ATR.



If Client is dissatisfied with First Review, then Client can pursue for **Second Review**. SEBI shall review the matter and file an ATR.



If Client is dissatisfied with Second Review, Client can file complaint on **Smart ODR portal**. ODR shall appoint Conciliator who shall amicably resolve the matter



If Conciliation is failed, then Client can pursue online Arbitration, ODR shall appoint Arbitrator who shall hear the matter and issue Arbitral Award.