

**ULJK Securities Pvt. Ltd.**

**Procedure for filing a complaint on a designated email id**

The register of complaints is centrally maintained. The Company has a dedicated Customer Care Team to monitor & redress complaints lodged by clients through mail to Customer Care Team where they are redressed on online basis. If the complaint is not resolved at this level, then it is forwarded to Compliance Department. The pending investor complaints and redressal at this level is monitored by the compliance officer. The analysis of such complaints is done by the management and preventive measures are taken and implemented.

□ The Company has designated an exclusive e-mail ID to enable the investors to register their complaints and such ID has been displayed on the company's website and printed on KYC Form, statements, Welcome kit etc.

1. The company has a designated investor grievances email id [grievances@uljk.in](mailto:grievances@uljk.in) on which the client or investor can make a complaint.
2. The company has a designated Customer Care / Investor Care telephone no. 022-66510110 on which the client or investor can make a query / complaint.
3. Designated person shall login the designated investor grievances email id on daily basis to look after the investor complaint and revert timely with information about the status of the complaint.
6. The full detail of the complaint must be passed to the concerned department and inform the compliance officer of the company as soon as it is received.
7. A letter or mail must be written to all the investor who have submitted written complaints by the designated person or Compliance Officer acknowledging receipt of the complaint and informing them it will be dealt with.
8. Compliance Department will obtain all information available on the complaint which is considered necessary for a proper investigation. Look into all the necessary information and resolve the as soon as possible.
9. There is standing policy of the company to resolve the investor complaint within seven days of the receipt of the same expect the complicated case.
10. A serious complaint (where the written response does not settle the issue) must be referred to the director of the company.
11. The Compliance Officer of the Company shall review the investor complaint register on weekly basis to find out whether complaint has been resolved within time or not.
12. The Designated Director / CEO/ MD of the Company shall review the redressal of investor complaint on weekly basis to find out whether complaint has been resolved within time or not.
13. Board of the Company shall review the redressal of investor complaint on fort-nightly or in immediate next meeting, whichever is earlier.

**FLOWCHART / ESCALATION MATRIX**

<b>Details of</b>	<b>Contact Person</b>	<b>Address</b>	<b>Contact No.</b>	<b>Operational/ Working Hours</b>	<b>Email ID</b>
Customer Care	Mr. Ashok Kadam	1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai – 400 001	9122-66510110 9967779678	10:00AM to 6.00 PM	<a href="mailto:customersupport@uljk.in">customersupport@uljk.in</a>
Compliance Officer	Mr. Ravikant Shah	1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai – 400 001	9122-66510112 9967850068	10:00AM to 6.00 PM	<a href="mailto:ravikant@uljk.in">ravikant@uljk.in</a>
CEO	Ms. Madhavi Vora	1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai – 400 001	022-66510103 9821087776	10:00AM to 6.00 PM	<a href="mailto:madhavivora@uljk.in">madhavivora@uljk.in</a>

In absence of response/complaint not addressed to investor satisfaction, investor may lodge a complaint with SEBI at <https://scores.gov.in/scores/Welcome.html> or Exchanges at  
 NSE: <https://investorhelpline.nseindia.com/NICEPLUS/>,  
 BSE: <https://bsecrecs.bseindia.com/ecomplaint/frmlInvestorHome.aspx>,  
 MCX: <https://www.mcxindia.com/Investor-Services> or  
 NCDEX: [https://ncdex.com/investor\\_complaint](https://ncdex.com/investor_complaint)  
 and CDSL: <https://www.cdslindia.com/Footer/grievances.aspx>  
 Please quote your Service Ticket/Complaint Ref No. while raising your complaint at SEBI SCORES/Exchange portal.