

DOCUMENT CONTROL SHEET

Key Information

Title	Investor Grievance Redressal Policy
Prepared By	Compliance
Approved By	Board of Directors
Date Effective From	April 26, 2024
Review Frequency	As and when there is a change in the regulatory provisions governing this policy and/or as may deemed fit by Directors
Next Review Date	April 01, 2027

Revision History

Version	Author		Date	Authorised by	Signature
V.01	Internal Team	Compliance	April 26, 2024	Mr. Ivor Anil Misquith	
V.02	Internal Team	Compliance	October 01, 2026	Mr. Prashant Parashar Dhebar	

INVESTOR GRIEVANCE REDRESSAL POLICY

Indorient Financial Services Limited

1. Introduction

This Investor Grievance Redressal Policy (“Policy”) outlines the procedures adopted by **Indorient Financial Services Limited** (“Indorient” or “the Company”) timely redressal of investor grievances arising out of its merchant banking activities.

This Policy is formulated in accordance with the provisions of the **SEBI (Merchant Bankers) Regulations, 1992, SEBI (ICDR) Regulations, 2018, SEBI (LODR) Regulations, 2015**, applicable SEBI circulars, and internal compliance standards of Indorient.

2. Objective

- To provide a structured mechanism for receiving, recording, and resolving investor grievances.
- To ensure compliance with SEBI and Stock Exchange frameworks for grievance handling.
- To protect investors' interests and maintain transparency in merchant banking operations.
- To continuously monitor and improve the grievance redressal process.

3. Scope of the Policy

This Policy covers grievances from investors, shareholders, applicants in public issues, and other stakeholders relating to merchant banking assignments handled by the Firm , including:

- Public Issues (IPO, FPO)
- Rights Issues
- Buybacks
- Takeover Offers / Open Offers
- Delisting offers
- Issue management activities (allotment, refunds, non-receipt of securities, advertisements, disclosures, etc.)
- Any other service undertaken as a SEBI-registered Merchant Banker

Complaints relating to listed companies or intermediaries will be handled in coordination with Registrar & Transfer Agents (RTAs), Stock Exchanges, Syndicate Members, SCSBs, and other intermediaries.

4. Channels for Lodging Complaints

Investors can raise grievances through any of the following:

4.1 Email (Primary Channel)

Email us at: wecare@indorient.in. This email ID is monitored daily by the Grievance Officer and the Compliance Team.

4.2 Physical Letter

Ms. Parul Gupta
Investor Grievance Officer
Indorient Financial Services Limited
B/805, Rustomjee Central Park, Andheri Kurla Road,
Chakala, Mumbai – 400093, Maharashtra, India
Contact No.: +91-79772 12186

4.3 SEBI SCORES Portal

Investors may register complaints on: <https://scores.sebi.gov.in>



Filing Complaints on SCORES – Easy & Quick

a. Register on SCORES portal
(<https://www.scores.gov.in/scores/complaintRegister.html>)

b. Mandatory details for filing complaints on SCORES
Name, PAN, Address, Mobile Number, Email ID

c. Benefits: Effective communication and speedy redressal of the grievances.

4.4 For INDORIENT's Share-related Grievances:

Share-related complaints (e.g. allotment, transfers, demat/physical share issues) that come under RTA responsibility will be forwarded to Bigshare Services Pvt Ltd for redressal. Indorient will coordinate with the resolution effort with the respective RTA and assist investors if needed.

For share-related grievances handled by the Registrar & Transfer Agent, contact:

Bigshare Services Private Limited (RTA)
Office No. S6-2, 6th Floor, PINNACLE BUSINESS PARK,
Mahakali Caves Rd, next to Ahura Centre, Andheri East,
Mumbai 400093, Maharashtra.
Telephone: +91-22-6263-8200

Fax: +91-22-6263-8299

Email for Investor Grievances: investor@bigshareonline.com

5. Internal Grievance Redressal Process

5.1 Registering Complaints

All complaints are logged in Indorient's Grievance Register, capturing:

- Date & mode of receipt
- Name & contact of complainant
- Nature of complaint
- Assignment (client, issue, deal)
- Actions taken
- Date of resolution

Both physical and online complaints are recorded centrally.

5.2 Acknowledgement

An acknowledgement email/letter is sent **within 2 working days** of receipt.

5.3 Review & Investigation

The Grievance Officer will:

- Analyse the complaint
- Seek information internally or from involved intermediaries (RTA, Bankers to Issue, Depositories, Client, Exchanges)
- Communicate with the complainant for additional details, if needed
- Escalate unresolved or complex issues to the Compliance Officer

5.4 Resolution Timeline

Indorient aims to close all grievances **within 7–15 working days**, depending on complexity and severity of the complaint. Complaints on **SEBI SCORES** or **Stock Exchanges** will be resolved within the timelines prescribed by the respective authorities.

5.5 Closure

A complaint is closed when:

- The issue is resolved and confirmation sent to the investor; or
- A justified response has been communicated; or
- No feedback is received from the investor within **30 days** post communication from the Firm.

6. Roles and Responsibilities

6.1 Investor Grievance Officer (IGO)

- First point of contact for investor complaints
- Ensures timely registration, response, and closure
- Coordinates with internal teams and external intermediaries
- Prepares MIS and reports to Compliance Officer

6.2 Compliance Officer

- Ensures adherence to SEBI regulations
- Handles escalations
- Reviews MIS, trends, and systemic issues
- Oversees timely reporting to SEBI and Stock Exchanges
- Approves updates to the Policy

6.3 Senior Management

- Periodic review of the grievance policy and processes.
- To be point of Point of escalation internally and with any external intermediaries

7. Escalation Matrix

Level 1: Investor Grievance Officer

Email: wecare@indorient.in

Level 2: Compliance Officer

Email: compliance@indorient.in / compliance-ifs1@indorient.in

Level 3: Principal Officer

Email: prashant@indorient.in

If not satisfied, the investor may escalate the matter through: **SEBI SCORES / ODR portal**

8. Monitoring & Reporting

- Monthly internal MIS reviewed by Compliance.
- Quarterly submission to Stock Exchanges (as applicable).
- Prompt response to all SEBI/Exchange communications.
- Review of recurring complaints to identify process improvements.

9. Record Keeping

All complaint records, communications, and resolution documents shall be preserved for **8 years**, or longer where regulatory requirements dictate.

10. Review of the Policy

This Policy will be reviewed **annually**, or earlier if required due to regulatory changes or internal policy updates. Changes will be approved by senior management and notified accordingly.