Procedure for Filing and Handling Complaints Through Designated Email IDs

1. Regulatory Requirement

The regulator requires every broker member to maintain a dedicated email address through which investors and customers may submit complaints or grievances. The broker member must acknowledge, review, and resolve such complaints within a reasonable period from the date of receipt.

2. Designated Email Addresses

Obsidian Investment Pvt. Ltd. has established the following email addresses for receiving and addressing investor and customer grievances:

- grievances@obsidiancapital.in

These email addresses are displayed on the company's website: www.obsidiancapital.in.

3. Access to the Designated Email Accounts

The designated email accounts shall be accessed and monitored by the following authorised personnel:

- Designated Director
- Compliance Officer
- Departmental Heads

4. Complaint-Handling Procedure

Once a complaint is received from an investor or customer, it shall be treated as a priority. A response shall be provided as soon as reasonably possible, depending on the nature and complexity of the matter.

Emails received through the designated grievance email addresses shall be classified by the Compliance Officer as either:

1. A general enquiry; or
2. An investor grievance or complaint.

4.1 General Enquiries

If an email is classified as a general enquiry, it shall be answered within a maximum of three working days from the date of receipt.

4.2 Investor Grievances or Complaints

If an email is classified as an investor grievance or complaint, the matter shall be thoroughly examined and a response shall be provided within seven working days from the date of receipt.

4.3 Matters Requiring Senior Management's Attention

Where a complaint or query requires the attention, deliberation, or approval of senior management, it shall be referred to the Investor Grievance Committee. The Committee shall review the matter and ensure that an appropriate resolution is communicated to the investor or customer at the earliest possible opportunity.

5. Types of Investor Grievances and Complaints

Investor grievances or complaints may include, but are not limited to, the following:

1. Non-receipt of or delay in payment
2. Delay in the refund of margin payments
3. Non-settlement of accounts
4. Non-receipt of or delay in the delivery or transfer of securities
5. Non-receipt of documents
6. Non-receipt of bills or contract notes
7. Non-receipt of account statements
8. Non-receipt of copies of the Rights and Obligations documents
9. Unauthorised trades or misappropriation
10. Service-related issues
11. Excess brokerage
12. Non-execution of orders
13. Incorrect execution of orders
14. Connectivity- or system-related problems
15. Non-receipt of corporate benefits
16. Other service-related defaults
17. Closing out or squaring up of positions
18. Disputes concerning auction values or close-out values
19. Non-implementation of arbitration awards
20. Other investor- or customer-related grievances