

NEO APEX SHARE
BROKING SERVICES LLP

SEBI Registration No: INZ000313854 (Stock Broker)

NSE MEMBER ID: 90346 BSEMEMBER ID: 6819

INVESTOR GRIEVANCE REDRESSAL MECHANISM

Neo Apex Share Broking Services LLP Endeavor to address all complaints regarding service deficiencies or causes for grievance, for whatever reason, in a reasonable time and manner. Neo Apex realizes that quick and effective handling and resolution of Investor's complaints is essential to provide excellent client service.

To achieve this, company has clearly documented policy for redressal of investor grievances. Through this policy, the company shall ensure that a suitable mechanism exists for receiving and addressing complaints from its investors with specific emphasis on resolving such complaints fairly and expeditiously.

The policy seeks to ensure that:

1. Grievance, if any, that may arise pursuant to the Member client Agreement entered into shall as far as possible be redressed through the administrative mechanism of the Member and in compliant to the SEBI (Stock Broker & Sub Broker) Regulations 1992 and any amendments made thereto from time to time.
2. Complaints shall be resolved in a proper and time bound manner with detailed advice to the investor. In case the resolution needs time, an interim response, acknowledging the complaint shall be issued.
3. The Compliance Officer shall give quarterly report of the client's complaint to the directors with the details as Name of the Investor, Nature of the Complaint, date of Receipt of the complaint and status of resolving the same. For complaints remaining unresolved for a period of more than 15 days from the date of receipt, the Compliance Officer shall provide the justification to the Directors.
4. The Compliance officer shall also keep proper records of all the grievances/complaints received and resolved.
5. All employees at the investor facing channels and other support departments will be periodically trained in handling of complaints.
6. The quality of investor service rendered by the Member shall be reviewed/ examined by Company's Top Management at regular intervals.
7. The Grievance Redressal Mechanism with updated contact details and dedicated email ID shall be a part of Risk Disclosure Document and shall be uploaded on the company's website.
8. The Investor Grievance Escalation Matrix Displayed on the Website

GRIEVANCE REDRESSAL AND DISPUTE HANDLING MECHANISM

For the timely and proper redressal of client's complaints and grievances, the member shall have the following Grievance Redressal and Dispute handling Mechanism at place:

The Member has appointed Mr. **Paras Vora**, Compliance Officer as a first point for the redressal of the Client's complaints. The client can approach to the Compliance Officer at below mentioned contacts:

Neo Apex Share Broking Services LLP
Address: 1701, One Lodha Place, Senapati Bapat Marg
Lower Parel Mumbai - 400013
E-mail ID: Compliance@neoapex.in

Clients can also email their complaints to a dedicated email ID: ig@neoapex.in

If the client remains dissatisfied with the remedies offered or the stand taken by the Designated Partner Mr. Hardik Shah at:

Neo Apex Share Broking Services LLP
Address: 1701, One Lodha Place, Senapati Bapat Marg
Lower Parel Mumbai - 400013
Email ID: hardik@neoapex.in

For disputes or differences arising between the member and client which could not be resolved amicably, shall be settled in accordance with and subject to the provisions of the Arbitration and Conciliation Act, 1996 or any statutory requirement, modification or re-enactment thereof for the time being in force. Such Arbitration proceedings shall be held at Mumbai. All the legal actions and proceedings are subject to jurisdiction of Court in Mumbai only and are governed by Indian Law.

For Neo Apex Share Broking Services LLP

Partner