

UPSE Securities Ltd.

Investor Complaints Redressal Policy

1. Client's Complaint is forwarded to the concerned sub-brokers advising him to submit his reply within a week.
2. Sub-broker's reply is forwarded to the client seeking his rejoinder.
3. Client's rejoinder is forwarded to the sub-broker and both parties are called before the Compliance Officer of the company on a fixed hearing date at the office of the company.
4. Both the parties are heard by Compliance Officer and if needed Board Member.
5. Further hearing date/s may also be fixed if needed.
6. After hearing matter is decided by the above stated officials and copy of which is sent to both the parties for compliance.
7. The party aggrieved by the decision may take further course of action as provided in the Rules.
8. Adequate steps shall be taken to resolve the complaint within 30 days from the date of receipt of the complaint.
9. The designated email id for investors grievance is upseccomplaints@gmail.com
10. The CEO of the company is the Compliance officer.

Last reviewed on 18.08.2017