



## ***SUNRISE GILTS & SECURITIES PVT. LTD.***

### **REDRESSAL MECHANISM FOR INVESTOR GRIEVANCE POLICY**

**(EFFECTIVE DATE: 10/06/2025)**



<b>Author:</b>	PRATIK KUMAR MORE
<b>Owner:</b>	PRATIK KUMAR MORE
<b>Approved by:</b>	BOARD OF DIRECTORS
<b>Organization:</b>	SUNRISE GILTS & SECURITIES PRIVATE LIMITED
<b>Version No:</b>	1.1
<b>Approval Date:</b>	28/05/2025
<b>Effective Date:</b>	10/06/2025

#### Document Control

**Document Title** Redressal Mechanism For Investor Grievance Policy

#### Version History

Version No.	Version Date	Author	Summary of Changes
1.1	10/06/2025	PRATIK KUMAR MORE	Review and Approval of BOD

#### Approvals:

Name	Title	Approval Date	Version No
PRATIK KUMAR MORE	Redressal Mechanism For Investor Grievance Policy	28/05/2025	1.1



## REDRESSAL MECHANISM FOR INVESTOR GRIEVANCE POLICY

### **1. Introduction:**

In today's global securities market, exceptional customer service is vital for sustainable business growth and development. At Sunrise Gilts & Securities, we recognize that customer complaint resolution is an inherent part of any business operation and play a crucial role in driving organizational improvements. Customer satisfaction and service excellence are the core objectives of our organization.

We are dedicated to providing prompt and effective services, recognizing that such efforts not only attract new customers but also retain and satisfy existing ones. This Grievance Redressal Policy has been established to ensure customers' grievances are addressed in a fair, courteous, and efficient manner.

The policy is built on the following principles:

- a. Fair and impartial treatment of all customers.
- b. Prompt, courteous, and professional handling of customer complaints.
- c. Informing customers of the proper escalation channels and alternative dispute resolution methods.
- d. Ensuring a transparent and equitable resolution of complaints.
- e. Commitment from employees to work in good faith without bias, always prioritizing customer interests.

Sunrise Gilts & Securities Pvt. Ltd. ("the Company") recognizes the importance of prompt and effective redressal of investor grievances. The Company is committed to providing a transparent, fair, and responsive grievance redressal mechanism to resolve complaints received from investors and stakeholders in a timely manner.

This policy has been framed in compliance with SEBI guidelines and Exchange requirements.

### **2. Objective of the Policy:**

The objectives of this policy are to:

- Ensure timely resolution of investor complaints.
- Maintain transparency in grievance handling.
- Build investor confidence and trust.



- Ensure compliance with regulatory requirements.
- Prevent recurrence of similar grievances.

### **3. Scope and Applicability:**

This policy applies to:

- All investor complaints received by the Company.
- All departments involved in handling investor interactions.
- All products and services offered by the Company.

### **4. Definition of Investor Grievance:**

An investor grievance refers to any written complaint or dissatisfaction expressed by an investor relating to:

- Trading or settlement issues.
- Funds or securities related matters.
- Account related discrepancies.
- Service deficiencies.
- Any other operational or regulatory matter.

### **5. Grievance Redressal Mechanism:**

#### **5.1 Modes of Receiving Complaints:**

Investors may lodge complaints through:

- Email to the Company's registered email ID.
- Written communication to the Company's registered office.
- Complaints received through Exchange platforms.
- SEBI SCORES platform.

#### **5.2 Investigation and Grievance Resolution:**

- The grievance shall be examined by the concerned department.
- Relevant records and system logs shall be verified.
- The Company shall provide a resolution within **15 working days** or as per regulatory timelines.
- If additional time is required, the investor shall be informed.
- Any complaint, whether received directly or through a regulatory body, will be addressed promptly, with a resolution timeframe not exceeding 15 business days from the date of receipt



### **5.3 Escalation Matrix:**

**Customers can raise their concerns or complaints through any of the following methods:**

<b>Level</b>	<b>Authority</b>
Level 1	<p>Customer Support / Operations</p> <p>– Mr. Dhruv Desai, Grievance Officer Contact No: +91 90814 44359 and Email Id : <a href="mailto:grievance@sunrisegilts.com">grievance@sunrisegilts.com</a> Address: 514, Pinacle Business Park, Opp. Royal Orchid, Prahlnagar, Ahmedabad-380015</p>
Level 2	<p>Compliance Officer</p> <p>– Mr. Yash Shah Contact No: +91 9016962384 and Email Id : <a href="mailto:info@sunrisegilts.co.in">info@sunrisegilts.co.in</a> Address: 514, Pinacle Business Park, Opp. Royal Orchid, Prahlnagar, Ahmedabad-380015</p>
Level 3	<p>Director / Senior Management</p> <p>- Mr. Pratik More Contact No: +91 7600167131 and Email Id : <a href="mailto:pratik@sunrisegilts.co.in">pratik@sunrisegilts.co.in</a> Address: 514, Pinacle Business Park, Opp. Royal Orchid, Prahlnagar, Ahmedabad-380015</p> <p>- Mrs. Swati More Contact No: +91 98310 15502 and Email Id : <a href="mailto:swati@sunrisegilts.co.in">swati@sunrisegilts.co.in</a> Address: 514, Pinacle Business Park, Opp. Royal Orchid, Prahlnagar, Ahmedabad-380015</p>

### **6. Regulatory Escalation:**

If the investor is not satisfied with the resolution, they may escalate the complaint through:

- Exchange Investor Grievance Cell.
- SEBI SCORES platform.
- Arbitration mechanism of the Exchange.

The Company shall cooperate fully with regulatory authorities.

### **7. Record Keeping:**

The Company shall maintain:

- Complaint register.
- Supporting documents.



- Communication records.
- Resolution details.
- Records shall be preserved for a minimum of **5 years**.

**8. Monitoring and Reporting:**

- Periodic review of grievance trends shall be conducted.
- Root cause analysis shall be performed.
- Preventive measures shall be implemented.
- Regulatory reports shall be submitted wherever required.

**9. Confidentiality:**

All investor complaints shall be treated as confidential and shall be disclosed only on a need-to-know basis.

**10. Policy Review:**

This policy shall be reviewed annually or upon regulatory or system changes.

**11. Approval:**

This policy is approved by the Directors of Sunrise Gilts & Securities Pvt. Ltd.

**Disclaimer:** Sunrise Gilts & Securities has the discretion to alter/change any of close out parameters defined in this policy based on prevailing market conditions, considering the dynamics of operations, business plans, and strategy of management from time to time, and/or any risk perception with or without prior intimation and can use their discretion to grant any kind of exemptions/permissions in case they deem fit on case to case basis. In a time of extreme volatility or a major impending event which might trigger such volatility, Sunrise Gilts & Securities reserves the right to withdraw the same. The company may modify or amend any of these rules without prior notice. The amended policy will be uploaded on the website of Sunrise Gilts & Securities from time to time.

