

Univest Stock Broking Private Limited

Grievance Redressal Mechanism

The process of investor grievance redressal is as follows:

1.	<p>Investor complaint/Grievances</p> <p>Investor can lodge complaint/grievance against “Univest Broking” in the following ways:</p> <p><u>Mode of filing the complaint with Univest Stock Broking Pvt. Ltd. “Univest Broking”</u></p> <p>Investor can approach the Univest Broking at the designated Grievance e-mail ID of the Univest Broking at grievance@unibrokers.in and also approach the below mentioned officials :</p> <ol style="list-style-type: none"> 1. Compliance Officer : Vijay Goel Email: compliance@unibrokers.in 2. Designated Director: Avneet Dhamija and Pranit Arora Email: hello@unibrokers.in <p>The Univest Broking will strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance.</p> <p><u>Mode of filing the complaint with Stock Exchanges</u></p> <ol style="list-style-type: none"> i. SCORES 2.0 (a web based centralized grievance redressal system of SEBI) (https://scores.sebi.gov.in) <p><u>Two level review for complaint/grievance against stock broker:</u></p> <ul style="list-style-type: none"> • First review done by Designated Body/Exchange • Second review done by SEBI <ol style="list-style-type: none"> ii. Emails to designated email IDs of Exchange <table border="1" data-bbox="505 1459 1435 1900"> <thead> <tr> <th></th> <th>Web Address</th> <th>Contact No.</th> <th>Email-id</th> </tr> </thead> <tbody> <tr> <td>BSE</td> <td>www.bseindia.com</td> <td>18002660050</td> <td>is@bseindia.com</td> </tr> <tr> <td>NSE</td> <td>www.nseindia.com</td> <td>022-22728016/22728282</td> <td>ignse@nse.co.in</td> </tr> <tr> <td>MCX</td> <td>www.mcxindia.com</td> <td>022-6731888866494151</td> <td>grievance@mcxindia.com</td> </tr> </tbody> </table>		Web Address	Contact No.	Email-id	BSE	www.bseindia.com	18002660050	is@bseindia.com	NSE	www.nseindia.com	022-22728016/22728282	ignse@nse.co.in	MCX	www.mcxindia.com	022-6731888866494151	grievance@mcxindia.com
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		<p>Additionally, the Investors can lodge a complaint through the following websites:</p> <p>NSE: https://investorhelpline.nseindia.com/NICEPLUS/</p> <p>BSE: https://bsecreg.bseindia.com/ecomplaint/frmInvestorHome.aspx</p> <p>NSDL: https://investor.nsdl.com/portal/en/home</p> <p>MCX: https://www.mcxindia.com/Investor-Services</p>
2.	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	<p>If the Investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/grievance on SMARTODR platform for its resolution through online conciliation or arbitration. This can be accessed through the following link: https://smartodr.in/</p>

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3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ol style="list-style-type: none">1. Investor to approach Market Participant for redressal of complaint2. If investor is not satisfied with response of Market Participant, he/she has either of the following 2 options:<ol style="list-style-type: none">i. May escalate the complaint on SEBI SCORES portal.ii. May also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration.3. Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavor to resolve the matter between the Market Participant and investor within 21 days.4. If the matter could not be amicably resolved, then the matter shall be referred for conciliation.5. During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute.6. If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration.7. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days with consent of the parties to dispute.
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	<p>iii. May escalate the complaint on SEBI SCORES portal.</p> <p>iv. May also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration.</p> <p>8. Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavor to resolve the matter between the Market Participant and investor within 21 days.</p> <p>9. If the matter could not be amicably resolved, then the matter shall be referred for conciliation.</p> <p>10. During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute.</p> <p>11. If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration.</p> <p>12. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days with consent of the parties to dispute.</p>
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