

## NOTICES

|                   |                                                                                                     |                    |             |
|-------------------|-----------------------------------------------------------------------------------------------------|--------------------|-------------|
| <b>Notice No.</b> | 20241209-41                                                                                         | <b>Notice Date</b> | 09 Dec 2024 |
| <b>Category</b>   | Others                                                                                              | <b>Segment</b>     | IA/RA       |
| <b>Subject</b>    | Grievance Redressal/ Escalation Matrix to be displayed by Investment Advisers and Research Analysts |                    |             |
| <b>Content</b>    |                                                                                                     |                    |             |

All the Investment Advisers (IA) and Research Analysts (RA) are advised to prominently display on their websites the following 'Grievance Redressal / Escalation Matrix' and bring it to the notice of their clients:

| Details of designation | Contact Person Name | Address where the physical address location | Contact No. | Email-ID | Working hours when complainant can call |
|------------------------|---------------------|---------------------------------------------|-------------|----------|-----------------------------------------|
| Customer Care          |                     |                                             |             |          |                                         |
| Head of Customer Care  |                     |                                             |             |          |                                         |
| Compliance Officer     |                     |                                             |             |          |                                         |
| CEO                    |                     |                                             |             |          |                                         |
| Principal Officer      |                     |                                             |             |          |                                         |

The abovementioned details would facilitate the complainants to approach the concerned IA/RA before filing complaint to SEBI. It is noticed that due to insufficient/incorrect information on IA/RA website, the complainants are not able to approach the concerned IA/RA before filing complaint to SEBI.

Further, in the absence of the website, such IA/RA shall display the matrix in all their offices and send emails containing the matrix to their clients.

In the absence of website:

- For new clients onboarded, enlisted IAs and RAs shall send an email containing the above matrix within seven days of on-boarding.
- For existing clients, enlisted IAs and RAs shall send the above matrix through email by January 03, 2025.

All the IAs and RAs are advised to take a note of the same and ensure compliance.

For any clarifications, email on [iara.compliance@bseindia.com](mailto:iara.compliance@bseindia.com)

For & on behalf of BSE Ltd.

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Membership Operations and  
Membership Compliance

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