

# SARTHAK GLOBAL LIMITED

CIN: L99999MH1985PLC136835

**Regd. Office:** 609, Floor-6, West Wing, Tulsiani Chambers, Nariman Point, Mumbai, (MH) 400021, India, Contact No.: 9827522189

**Corporate Office:** 170/10, Film Colony, R.N.T. Marg, Indore (MP), 452001, India

**Phone No.:** 0731-4279626, **Email:** [sgl@sarthakglobal.com](mailto:sgl@sarthakglobal.com), **Website:** [www.sarthakglobal.com](http://www.sarthakglobal.com)

## GRIEVANCE REDRESSAL – MODES AND ESCALATION MECHANISM

1.	Investor complaint/Grievances	<p>Investor can lodge complaint/grievance against RTA in the following ways:</p> <p><b>Mode of filing the complaint with Listed Company/RTA:</b></p> <p>Investor can approach the Listed Company/RTA at the designated Investor Grievance e-mail ID of the Listed Company/RTA. The Listed Company/RTA will strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance</p> <p><b>Mode of filing the complaint with stock exchanges</b></p> <p>i. SCORES 2.0 (a web based centralized grievance redressal system of SEBI) (<a href="https://scores.sebi.gov.in">https://scores.sebi.gov.in</a>)</p> <p><b><u>Two level review for complaint/grievance against RTA:</u></b></p> <ul style="list-style-type: none"><li>• First review done by Designated body/Exchange</li><li>• Second review done by SEBI</li></ul> <p>ii. Emails to designated email IDs of Exchange</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, the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through online conciliation or arbitration.</p>

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3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ol style="list-style-type: none"><li>1. Investor to approach Market Participant for redressal of complaint</li><li>2. 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"><li>i. May escalate the complaint on SEBI SCORES portal.</li><li>ii. May file a complaint on SMART ODR portal for its resolution through online conciliation and arbitration.</li></ol></li><li>3. Upon receipt of complaint on SMART ODR portal, the relevant MII will review the matter and endeavor to resolve the matter between the Market Participant and investor within 21 days.</li><li>4. If the matter could not be amicably resolved, then the matter shall be referred for conciliation.</li><li>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.</li><li>6. If the conciliation is unsuccessful, the investor may request to refer the matter for arbitration.</li><li>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.</li></ol>
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