

# Document Escalation Matrix

It is TradeDeal Financial Services Private Limited's policy to ensure that:

- \* All customers are treated fairly at all times.
- \* Any complaints raised by customers are dealt with courtesy and on time.
- \* Customers are fully informed of their rights to alternative remedy if they are not fully satisfied with the response of the Bank to their complaint. All complaints will be treated efficiently and fairly. The bank will work continuously towards providing quality service to its customers. The bank will always act in good faith and without prejudice to the interest of the customer
- \* The company's Grievance Redressal Policy & Document Escalation Matrix will be available to customers on request.
- \* The Company shall also ensure that all employees concerned will be informed about the

## Complaint Handling Process , its subsequent updates & Escalation Matrix

**1. Multi-channel customer service strategy:** The Company's customer service strategy is to enable customers' to avail of services through multiple channels. The various channels available to customers for redressal of issues are as follows:

- i. Customer Care: Customers can contact our Customer Care officers through phone for redressal of issues.
- ii. Head Office/Branch: Customers can walk into any our head office or branch and speak with official in charge/branch officials for resolution of their issues.
- iii. E-mail/website: Customers can e-mail their issues to [grievances@tradedealonline.com](mailto:grievances@tradedealonline.com)
- iv. Customers may send a letter to:

Name of Compliance Officer: Ms. Rupal B. Darji  
Mobile No.: +91- 9978348309;  
E-Mail Id: [rupal@tradedealonline.com](mailto:rupal@tradedealonline.com)

Compliance & Investor Grievance Department

Name of Company: TradeDeal Financial Services Private Limited

Address: Office No. 104, Plot No. 1891, Shukan Complex, Rupani Circle to Atabhai Chowk, Bhavnagar – 364 001, Gujarat Phone: 0278-3005905,6,7; Fax No. 0278-3005903;

- v. Escalation: If a customer is not satisfied with the resolution provided through these channels, he can ask for the contact details of senior officials and can escalate the issue to them.

## **Escalation Matrix:**

**Step 1:** Email at [grievances@tradedealonline.com](mailto:grievances@tradedealonline.com); Response Time within 1 Business Day

**Step2:** if Email is not responded or If the resolution you receive does not meet your expectations, please write to

Name of Compliance Officer: Ms. Rupal B. Darji

Address: Office No. 104, Plot No. 1891, Shukan Complex, Rupani Circle to Atabhai Chowk,

Bhavnagar – 364 001, Gujarat Phone: 0278-3005905,6,7; Fax No. 0278-3005903;

Response Time: 7 Business Days

**Step 3 :** If you are still not satisfied with the resolution you receive, please write to:

Name of Director: Mr. Alpesh H. Vora

Address: Office No. 104, Plot No. 1891, Shukan Complex, Rupani Circle to Atabhai Chowk,

Bhavnagar – 364 001, Gujarat Phone: 0278-3005905,6,7; Fax No. 0278-3005903;

Response Time: 7 Business Days

2. Time frame for Response:

The turn-around-time for the responding to a complaint is

i. Normal cases (other than one mentioned below): 7 working days for normal cases

ii. Fraud cases, Legal cases and cases which need retrieval of documents and exceptionally old records: 15 working days

iii. Cases involving 3<sup>rd</sup> party (other Company's): 30 working days

iv. If any case needs additional time, the Company will inform the customer why the resolution is being delayed and provide expected time lines for the resolution of the issue.

3. Process Improvements:

The complaints would essentially provide valuable insight into areas of improvement within the Company's internal processes and procedures (including automated processes) that impact Company's ability to conduct its business efficiently and successfully.

The Company has institutionalized a detailed multi-step process of Root Cause

Analysis for escalated complaints to:

- Identify and extract issues that concern the customer
- Obtain feedback from units who interacted with the customer i.e. branch and Customer Care
- Map processes of handling the issue, determine if the current process is followed optimally

- Identify root causes of complaints and erring units, if any
- Initiate process changes, if required
- Track the impact of process changes.

#### 4. Standing Committee on Customer Service:

The Customer Service Council (CSC) of the Company functions as the Standing Committee on Customer Service. The Customer Service Council is chaired by the Executive Director. Business Heads and the Heads of related departments are members of the Council. The Council focuses on building and strengthening customer service orientation in the Company through initiating various measures including simplifying processes for improvement in customer service levels. The Council holds monthly review meetings to discuss service updates, ongoing projects specifically targeted towards improvement of customer service and appropriate actions arising from discussions. The Customer Service Council carries out following specific functions:

- Evaluate feedback on quality of customer service received from various quarters. The committee would also review comments/feed-back on customer service and implementation.
- The Committee would be responsible to ensure that the Company follows all regulatory instructions regarding customer service.
- Actionable pointed out by Committee on Procedures and Performance Audit on Public Services.
- The committee would submit report on its performance to the customer service committee of the board at quarterly intervals.

#### 5. Customer Service Committee of the Board:

The Customer Service Committee of the Board overlooks into implementation of various customer service guidelines as mandated by SEBI and Exchange. The Committee reviews customer service initiatives and deliberates innovative measures for enhancing the quality of customer service and improvement in overall service levels. The Committee also reviews the functioning of the Standing Committee on Customer Service (Customer Service Council of the Company). The Committee does not look into individual complaints.