

Escalation Matrix: Client Complaint Process for GEPL Capital

Level 1: Initial Complaint Registration

1. Clients can file complaints through the following methods:
 - **Phone:** (022) 31019911
 - **Email:** complaints@geplcapital.com and CC to support@geplcapital.com (Token number will be generated for future reference)
 - **NSE/BSE/SEBI complaints site**
2. For complaints received via email, the support team will raise a ticket.
3. GEPL Capital will acknowledge the complaint before contacting the client for any clarification.
4. The staff coordinates with the relevant department to resolve the issue promptly within 48 hours.
5. The status of the query is emailed, and a telephonic update is provided to the client.
6. If the query takes more than 48 hours, the client is informed accordingly with a new TAT of 2-3 working days.
7. Once resolved, the complaint is marked as closed, and the client's concern is considered addressed.
8. If the client's query is not resolved within 5 days, it is escalated to the Compliance Officer, and if unresolved further, it is escalated to the Management.
9. After 7 working days, either the Compliance Officer or Management personally contacts the client to resolve the issue.

Level 2:

Escalation to NSE/BSE Clients may approach the grievance mechanism on the respective exchange's website:

- **NSE:** [NSE Complaint Portal](#)
- **BSE:** [BSE Complaint Portal](#) and [BSE Investor Home](#)

Complaint registration on NSE involves:

1. Navigating to Home > Invest > Making a Complaint > File a Complaint Online
2. Filling in necessary details and attaching required documents
3. Providing a valid email ID and mobile number for communication
4. Receiving an email with a user ID and password upon successful registration
5. Preserving this email for future complaint tracking and filing

Level 3:

Escalation to SEBI (SCORES Portal) If the complaint remains unresolved, clients can escalate it to SEBI's web-based grievance redressal system (SCORES):

- [SCORES Portal](#)

Key Requirements:

1. Register on the SCORES portal
2. Provide mandatory details: Name, PAN, Address, Mobile Number, and Email ID

Benefits of SCORES:

1. Effective communication
2. Speedy grievance redressal

Online Complaint Process through GEPL Capital Website:

1. Visit [GEPL Capital Website](#)
2. Navigate to Home > Support > Create a Ticket > File a Complaint Online
3. Fill in the necessary details and attach relevant documents
4. Ensure a valid and registered email ID and mobile number are provided
5. Receive an email with a Ticket Number upon successful registration
6. Preserve the email for tracking complaint status and future communications
7. Complaints are typically resolved within 24 hours, after which the ticket is closed and the client is informed via email.

Offline Complaint Process through GEPL Capital:

1. File a physical complaint through:
 - **Email:** complaints@geplcapital.com
 - **Letter** addressed to GEPL Capital's Client Servicing Department
 - **Phone:** (022) 31019911 (Customer Care Support IVR No.)
2. Attach photocopies of supporting documents, if any
3. Ensure a valid and registered email ID and mobile number are provided
4. GEPL Capital staff will coordinate with the relevant department for a quick resolution
5. Clients will be informed if additional time is required for resolution
6. Complaints taking more than a week are recorded in a registry
7. Once resolved, complaints are marked as closed and the client's concern is deemed addressed.

Flowchart Representation:

1. **Complaint Received** → Ticket Generated → Acknowledgment Sent → **Issue Resolved within 48 hours?**
 - **Yes** → Status Updated to Client → Case Closed
 - **No** → New TAT of 2-3 Days → **Issue Resolved?**
 - **Yes** → Status Updated to Client → Case Closed
 - **No** → Escalation to Compliance Officer (After 5 Days) → **Issue Resolved?**
 - **Yes** → Status Updated to Client → Case Closed
 - **No** → Escalation to Management (After 7 Days) → **Issue Resolved?**
 - **Yes** → Status Updated to Client → Case Closed
 - **No** → Escalation to NSE/BSE → SEBI SCORES if Unresolved

This escalation matrix ensures transparency, efficiency, and adherence to regulatory grievance mechanisms for complaint resolution.

Resolution process:

1. **Complaint Received → Ticket Generated & Acknowledged**
2. **Issue Resolved within 48 hours?**
 - ✓ **Yes** → Status Updated to Client → **Case Closed**
 - ✗ **No** → New TAT of 2-3 Days Provided
3. **Issue Resolved within Extended TAT?**
 - ✓ **Yes** → Status Updated to Client → **Case Closed**
 - ✗ **No** → Escalation to Compliance Officer (After 5 Days)
4. **Issue Resolved by Compliance Officer?**
 - ✓ **Yes** → Status Updated to Client → **Case Closed**
 - ✗ **No** → Escalation to Management (After 7 Days)
5. **Issue Resolved by Management?**
 - ✓ **Yes** → Status Updated to Client → **Case Closed**
 - ✗ **No** → **Client Escalates to NSE/BSE → SEBI (SCORES) if Unresolved**