ARYA FIN-TRADE SERVICES (INDIA) PRIVATE LIMITED

STANDARD OPERATING PROCEDURE (SOP)

Process for Registration and Redressal of Investor Complaints through SEBI SCORES & SMART ODR Portal

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Approved By: Board of Directors / Compliance Officer
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1. OBJECTIVE

This Standard Operating Procedure ("SOP") has been formulated to provide investors with a clear, transparent and systematic process for lodging and resolution of complaints through:

- SEBI Complaints Redress System (SCORES)
- SMART Online Dispute Resolution (SMART ODR) Portal

This SOP is prepared in accordance with applicable provisions of the SEBI Act, Rules, Regulations, SEBI Circulars and other applicable regulatory requirements.

2. SCOPE

This SOP shall be applicable to all investors/clients of:
Arya Fin-Trade Services (India) Private Limited
for complaints relating to services rendered by the Company in its capacity as a SEBI registered Stock Broker.

3. INVESTOR GRIEVANCE REDRESSAL MECHANISM

Arya Fin-Trade Services (India) Private Limited believes that prompt and fair resolution of investor grievances is an integral part of investor protection.

Investors are advised to first approach the Company for resolution of their grievance.

If the complaint is not satisfactorily resolved or remains unresolved within the prescribed timelines, investors may escalate the complaint through SEBI's SCORES Portal.

Wherever applicable, disputes may thereafter be resolved through the SMART Online Dispute Resolution (SMART ODR) mechanism.

4. LEVEL I – COMPLAINT WITH ARYA FIN-TRADE SERVICES (INDIA) PRIVATE LIMITED

Before approaching SEBI, investors should first lodge their complaint with the Company.

Investors may submit complaints through:

- Email to the Compliance Department
- Written communication
- Customer support
- Any other officially designated grievance redressal channel of the Company

The Company shall examine the complaint and provide an appropriate response within the timelines prescribed by SEBI/Stock Exchanges.

5. LEVEL II – REGISTRATION OF COMPLAINT ON SEBI SCORES PORTAL

If the investor is not satisfied with the Company's response or does not receive any response within the prescribed period, the complaint may be lodged on the SEBI Complaints Redress System (SCORES).

Step 1 – Visit SCORES Portal

Visit: https://scores.sebi.gov.in

Step 2 – Register on SCORES

If you are a new user:

- Click on "Investor Corner"
- Select "Register Here"
- Complete the registration process
- Verify Email ID and Mobile Number through OTP
- Create Login Credentials

Existing users may directly login using their credentials.

Step 3 – Mandatory Details Required

The following details are required while filing a complaint:

- Name of Investor
- PAN
- Address
- Mobile Number
- Email ID
- Details of Intermediary
- Nature of Complaint
- Supporting documents (if any)

Step 4 – Submission of Complaint

After logging in:

- Select the intermediary category
- Choose the concerned registered intermediary
- Enter complaint details
- Upload supporting documents
- Review all information
- Submit the complaint

Upon successful submission, a unique complaint registration number shall be generated for future correspondence.

Step 5 – Tracking Complaint

Investors can track the status of their complaint by logging into the SCORES portal using their credentials.

- The portal also enables investors to:
- View status updates
- Submit additional documents
- Respond to observations
- Review resolution provided by the intermediary

6. BENEFITS OF FILING COMPLAINT THROUGH SCORES

The SCORES Portal offers several advantages, including:

- ➤ Online complaint registration
- ➤ Transparent complaint tracking
- ➤ Faster communication
- ➤ Electronic submission of documents
- ➤ Time-bound grievance redressal
- ➤ Centralized monitoring by SEBI

7. LEVEL III – ONLINE DISPUTE RESOLUTION THROUGH SMART ODR PORTAL

Where a complaint remains unresolved after completion of the SCORES process or is otherwise eligible under the applicable regulatory framework, investors may initiate Online Dispute Resolution through the SMART ODR Portal.

8. WHAT IS SMART ODR?

SMART ODR (Securities Market Approach for Resolution Through Online Dispute Resolution) is an online dispute resolution mechanism introduced under the regulatory framework of SEBI to facilitate:

- ➤ Conciliation
- ➤ Mediation
- ➤ Arbitration

through a completely digital platform.

9. REGISTRATION PROCESS ON SMART ODR PORTAL

Step 1

Visit: https://smartodr.in

Step 2

Click on:
Investor Login / Register

Step 3

Create your account by providing:

- ➤ Name
- ➤ Mobile Number
- ➤ Email ID
- ➤ PAN (where applicable)
- ➤ OTP Verification

Step 4

Login to the Portal.

Step 5

Select:
Raise New Dispute

Step 6

Provide the following information:

- Name of intermediary
- Complaint reference number (where applicable)
- Details of dispute
- Amount involved (if any)
- Relevant facts
- Supporting documents

Step 7

Review the information and submit the application.
Upon successful submission, a dispute reference number will be generated.

10. PROCESS AFTER REGISTRATION ON SMART ODR

After registration:

1. Case scrutiny by the ODR Institution.
2. Appointment of Conciliator/Mediator.
3. Online conciliation proceedings.
4. If settlement is reached, the matter is concluded.
5. If conciliation fails, the matter may proceed to Arbitration as per applicable SEBI regulations.
6. Arbitration Award shall be issued in accordance with applicable laws and regulatory framework.

11. BENEFITS OF SMART ODR

SMART ODR provides:

- Fully online dispute resolution
- Faster settlement process
- Reduced litigation costs
- Transparent proceedings
- Paperless documentation
- Virtual hearings
- Efficient dispute management

12. IMPORTANT POINTS FOR INVESTORS

Investors are advised to:

- Preserve all contract notes, ledger statements and correspondence.
- Submit complete facts while filing complaints.
- Upload supporting documents wherever required.
- Keep complaint reference numbers safely for future tracking.
- Regularly monitor the complaint/dispute status.

13. MANDATORY INFORMATION REQUIRED WHILE FILING COMPLAINT

Investors should keep the following information readily available:

- Full Name
- PAN
- Registered Address
- Mobile Number
- Email ID
- Client Code/UCC
- Trading Account Details
- Complaint Description
- Supporting Documents

14. REGULATORY REFERENCES

This SOP is prepared considering, inter alia:

- SEBI Complaints Redress System (SCORES)
- SEBI Circulars relating to Investor Grievance Redressal.
- SEBI Circulars governing Online Dispute Resolution (ODR)
- Applicable Stock Exchange Circulars
- Applicable SEBI Regulations as amended from time to time

15. USEFUL LINKS

SEBI SCORES Portal

https://scores.sebi.gov.in

SMART ODR Portal

https://smartodr.in

SEBI Website

https://www.sebi.gov.in

16. DISCLAIMER

The grievance redressal and dispute resolution process shall be governed by the applicable provisions of SEBI Act, Rules, Regulations, Circulars, Stock Exchange Bye-laws and any amendments issued from time to time. Arya Fin-Trade Services (India) Private Limited reserves the right to modify this SOP to align with any regulatory changes.