



## Complaint Filing Procedure for Trading and Demat Accounts

### 1) Procedure

The procedure for filing complaints related to trading and demat accounts. Trading accounts enable clients to buy and sell financial instruments, while demat accounts facilitate the electronic holding of securities. In the event of a dispute or grievance regarding any aspect of the trading or demat account, the client has the right to file a complaint. This procedure ensures that all complaints are handled in a structured and timely manner, compliant with regulatory requirements.

### 2) Scope and Applicability

This complaint filing procedure applies to clients who have opened trading and/or demat accounts with the company or its authorized intermediaries. The procedure covers various types of grievances, including, but not limited to:

- Unauthorized trading activities
- Discrepancies in trading account balances
- Issues with the dematerialization or rematerialization of securities
- Delays in crediting securities to the demat account
- Errors or issues with account statements
- Problems related to margin requirements
- Non-receipt of corporate actions such as dividends, bonus, or rights issues

### 3) Regulatory Framework

The complaint filing procedure adheres to the guidelines and regulations set forth by relevant regulatory authorities such as:

- Securities and Exchange Board of India (SEBI)
- Central Depository Services Limited (CDSL) for demat-related issues
- Stock Exchanges (e.g., Bombay Stock Exchange, National Stock Exchange)

This procedure ensures compliance with SEBI's Investor Protection and Complaint Redressal Mechanism, as well as the operational standards of depositories and exchanges.

### 4) Steps for Filing a Complaint

#### 4.1. Step 1: Initial Communication with the LGT Capital Markets Private Limited

Before escalating the issue, clients are encouraged to first approach the LGT Capital for trading account-related issues or for demat account-related issues for resolution.

#### a) Reporting a Complaint

Any grievance or dispute arising out of trading or depository services may be formally reported to the **Customer Care Team of LGT Capital Markets Private Limited** through the following designated channels:

Business	Email at	Phone at:	Letters at:
Broking	<a href="mailto:grievances.lgtcapital@lgtindia.in">grievances.lgtcapital@lgtindia.in</a>	+91 22 65363335	B 201/202, 2nd Floor, Kanakia Wallstreet, Chakala Midc, Mumbai, Mumbai, Maharashtra, India, 400093
Demat	<a href="mailto:dpgrievances.lgtcapital@lgtindia.in">dpgrievances.lgtcapital@lgtindia.in</a>	+91 22 65363335	B 201/202, 2nd Floor, Kanakia Wallstreet, Chakala Midc, Mumbai, Mumbai, Maharashtra, India, 400093

- Alternatively, you may contact your **assigned Relationship Manager**, who will assist you in recording and escalating complaints with LGT Capital Markets Private Limited.
- **In-person: Complaints can be submitted in person at the LGT Capital head / registered office or branch offices.**

**b) Complaint Registration & Tracking**

All complaints received via email, telephonic communication, or letters (submitted through a Relationship Manager or directly by the complainant) that require formal registration shall be accurately logged into the Internal Complaint Management System of LGT Capital Markets Private Limited.

Upon receipt of a complaint, LGT Capital Markets Private Limited will acknowledge the complaint within 48 hours (business days). The complainant will receive an acknowledgment email confirming the receipt of their complaint. This email will also contain the unique reference number assigned to their complaint for reference and follow-up purposes.

The complainant is required to reference the unique complaint reference number in all subsequent communications with LGT Capital Markets Private Limited regarding the complaint. This ensures efficient and accurate tracking of the complaint's resolution process.

**c) Timeline for Resolution**

- LGT Capital Markets Private Limited shall process and resolve the complaint within the prescribed regulatory period or within 21 (twenty-one) calendar days from the date of the receipt of the complaint by LGT Capital.
- In the event that the complaint is not resolved within the prescribed Turnaround Time (TAT), the complainant may escalate the matter one step as per the **escalation matrix detailed in Point 5 below.**

**d) Resolution Communication and complaint tracking method**

**To ensure transparency and timely resolutions, we have implemented the following methods for tracking and resolving your complaints.**

- A **formal resolution** shall be communicated to the complainant, detailing the issue, and the resolution.
- Stay updated on your complaint's status through the following methods:
  - Online Portal:  
Once logged into your account, you can view the current status of your complaint—whether it's "Received," "Under Investigation," or "Resolved."
  - SMS and Email Updates:  
We'll keep you informed at each step via SMS and email notifications. These updates will include details such as:
    - A status update on the progress of your complaint.
    - Any additional information or documentation required from your side.
    - Estimated time to resolution.

**e) Escalation Procedure**

In case the complainant is not satisfied with the resolution provided, they may escalate the matter as follows:  
Escalation Matrix

Escalation Level	Designation	Contact Number	Email Address
<b>Level 1</b>	Head of Customer Care	+91 9222222805	<a href="mailto:sagar.upadhya@lgtindia.in">sagar.upadhya@lgtindia.in</a>
<b>Level 2</b>	Compliance Officer	+ 91 9987635146	dinesh.tanwar@lgtindia.in
<b>Level 3</b>	CEO, LGT Capital Markets	+91 9769009200	surendhren.manayath@lgtindia.in

(Note: Each escalation level will have distinct contact details, and the **CEO** shall be the Chief Executive Officer of **LGT Capital Markets Private Limited.**)

**f) Further Recourse**

In absence of response/complaint not addressed to your satisfaction, you may lodge a Complaint with:

Regulatory Authority	Complaint Filing Link
Securities and Exchange Board of India (SEBI)	<a href="https://scores.sebi.gov.in">https://scores.sebi.gov.in</a>
National Stock Exchange of India (NSE)	<a href="https://investorhelpline.nseindia.com/NICEPLUS/">https://investorhelpline.nseindia.com/NICEPLUS/</a>
Bombay Stock Exchange (BSE)	<a href="https://bsecrecs.bseindia.com/ecomplaint/frmlInvestorHome.aspx">https://bsecrecs.bseindia.com/ecomplaint/frmlInvestorHome.aspx</a>
Central Depository Services Limited (CDSL)	<a href="https://www.cdslindia.com/Footer/grievances.aspx">https://www.cdslindia.com/Footer/grievances.aspx</a>

All complaints shall be handled in strict compliance with the **applicable regulatory framework**, including but not limited to act, Rules, regulations, circulars and guidelines issued by **SEBI, Stock Exchanges and Depositories** from time to time.

If investors are still not satisfied with the response from LGT Capital, they can lodge their grievances with SEBI at <https://scores.sebi.gov.in/scores-home/> or may also write to any of the offices of SEBI or contact SEBI Office on Toll Free Helpline at 1800 266 7575 / 1800 22 7575. The complaint shall be lodged on SCORES within one year from the date of cause of action, where the complainant has approached LGT Capital, for redressal of the complaint and

LGT Capital has rejected the complaint or,

- The complainant has not received any communication from LGT Capital or,
- The complainant is not satisfied with the reply received or the redressal action taken by LGT Capital.

SCORES may be accessed through SCORES mobile application as well, same can be downloaded from [Google Play Store](#) or [Apple App Store](#). If the investor is not satisfied with the extent of redressal of grievance by LGT Capital, there is a one-time option for "review" of the extent of the redressal, which can be exercised within 15 days from the date of closure of the complaint on SCORES. Thereafter, the complaint shall be escalated to the supervising official of the dealing officer of SEBI.

After exhausting all aforementioned options for resolution, if the client is not satisfied, they can initiate dispute resolution through the [Online Dispute Resolution Portal \(ODR\)](#).

Alternatively, the client can directly initiate dispute resolution through the ODR Portal if the grievance lodged with the LGT Capital is not satisfactorily resolved or at any stage of the subsequent escalations mentioned above.

The dispute resolution through the ODR Portal can be initiated when the complaint/dispute is not under consideration in SCORES guidelines or not pending before any arbitral process, court, tribunal or consumer forum or are non-arbitrable in terms of Indian law.

#### PROCEDURE FOR FILING A COMPLAINT – FLOWCHART

Below is a visual representation of the complaint filing and escalation procedure:

