

Procedure for Filing Complaint with UBS Securities (India) Private Limited

UBS Securities (India) Private Limited (hereinafter referred to as UBSSI) is a SEBI registered Stock Broker and member of BSE Ltd and National Stock Exchange of India Limited. UBSSI is committed to the fair and efficient resolution of Investor Complaints.

Step by step process of raising complaint is given below

- Customer to email grievance / complaint to igindia@ubs.com from email id registered in UBSSI records.
- UBSSI will acknowledge receipt of email and assign an internal complaint reference number / Ticket Number.
- UBSSI will check and respond over email to grievance of customer.
- In case customer is not satisfied with UBSSI response, customer may write email to Compliance officer Mr. Parameshwaran Shivaramakrishnan at Parameshwaran.s@ubs.com
- If complaint still not addressed to Customer satisfaction, customer may lodge a complaint with
 - SEBI at <https://scores.gov.in/scores/Welcome.html> or
 - NSE at <https://investorhelpline.nseindia.com/NICEPLUS/> or
 - BSE at <https://bsecrecs.bseindia.com/ecomplaint/frmlInvestorHome.aspx>

Investor Grievance Escalation Matrix is displayed on url www.ubs.com/ubssi

An investor/client shall first take up his/her/their grievance with the UBSSI by lodging a complaint directly. If the grievance is not redressed satisfactorily, the investor/client may, in accordance with the SCORES guidelines, escalate the same through the SCORES Portal in accordance with the process laid out therein. After exhausting these options for resolution of the grievance, if the investor/client is still not satisfied with the outcome, he/she/they can initiate dispute resolution through the Online Dispute Redressal (ODR). Link for ODR is <https://smartodr.in/login>

Procedure for finding out status of Complaint basis Ticket Number

Step by step process of finding out status of Complaint basis Ticket Number is given below

- Customer to email to igindia@ubs.com quoting complaint reference number / Ticket Number and request for status of the complaint.
- Customer to place above request from email id registered in UBSSI records.
- UBSSI will provide status of complaint over email to the customer post request validation.