

INVESTOR REDRESSAL GRIEVANCE MECHANISM OF

A. K. CAPITAL FINANCE LIMITED

The Company believes that Investor service is a vital element for sustained business growth and for better corporate governance. The Company's policy is to treat and service all the investors consistently and fairly. The Company has laid down the appropriate Grievance Redressal Mechanism to resolve grievances / complaints arising in this regard. The Company endeavors to address all grievances / complaints, in a reasonable time and satisfactory manner. Investor queries and grievances / complaints constitute an important voice of Investor and thus a structured grievance redressal framework is important.

Grievance redressal is supported by a review mechanism, to minimize the recurrence of similar issues in future. The Company realizes that quick and effective handling and resolution of Investors' grievances is essential. This mechanism shall ensure that all grievances / complaints shall be heard and the response would be sent for such grievances / complaints. The Investor Redressal Mechanism of the Company is based on the following principles:

1. Investors are treated fairly at all times.
2. Grievances / complaints raised by Investors are dealt with courtesy and in a timely manner.
3. Queries and grievances / complaints are treated efficiently and fairly.
4. The employees and management of the Company work in good faith and towards the interests of the Investors.

All the investor queries and grievances / complaints registered with the Company shall be reviewed, monitored and resolved to the satisfaction of the investors. The focus shall be to ensure all grievances are resolved in a timely basis and to the full satisfaction of the investors.

The Company has appointed Mr. Govind Lalwani as a Compliance/Grievance Redressal Officer who can be approached in case of any grievance/ complaint against the Company.

Key steps undertaken by the Company for handling Investor Grievances are enumerated as follows:

1. The Company has a designated email id i.e. investor.grievance@akgroup.co.in for handling investor grievances on which investors can make a grievances / complaints. This e-mail ID is mentioned on the website of the Company.
2. Also, an Investor can make a written grievances / complaints marking it to the Compliance/Grievance Redressal Officer at 601-602, 6th Floor, Windsor, Off CST Road, Kalina, Santacruz (E), Mumbai – 400 098
3. The Compliance/Grievance Redressal Officer checks the designated investor grievances e-mail ID on a daily basis to check whether any new grievances / complaints has been lodged.

4. All the investor grievances / complaints received by online “SEBI Complaints Redress System” (SCORES) are checked daily and replied/resolved expeditiously.
5. The Compliance/Grievance Redressal Officer gathers all information available on the grievance / complaint which is considered necessary for a proper investigation. He looks into all the necessary information and undertakes to resolve them as soon as possible.
6. The Board of Directors of the Company shall review the status of the grievances / complaints on a quarterly basis.

The Company has devised an Escalation Process for clear understanding of the procedure for lodging grievances / complaints:

ESCALATION PROCESS:

1. **In case of any query/complaint, the Investors can write to:**

Mr. Govind Lalwani- Compliance / Grievance Redressal Office
601-602, 6th Floor, Windsor, Off CST Road, Kalina,
Santacruz (E), Mumbai – 400 098
Phone No : 022-67546500
Email Id : compliance@akgroup.co.in

2. **If not satisfied with the response of the Compliance / Grievance Redressal Officer, the Investors can write to:**

Mr. A. K. Mittal :Managing Director
601-602, 6th Floor, Windsor, Off CST Road, Kalina,
Santacruz (E), Mumbai – 400 098
Phone No :022-66349300
Email Id : grievances@akgroup.co.in

3. In case Investors do not receive a response within 30 days from the date of receipt of the complaint, they can escalate their issues to Designated Stock Exchange (DSE) i.e. BSE through SCORES at <https://scores.gov.in/>

Please note that BSE will be the recourse for certain categories of complaints against Debt listed companies as provided in **Annexure-I**.

4. Upon receipt of the complaint through SCORES platform, the company is required to redress the complaint and submit an Action Taken Report (ATR) within 30 days from the date of receipt of such complaint.

5. In case the ATR is not submitted by the company within 30 days or BSE is of the opinion that the complaint is not adequately redressed and the complaint remains pending beyond 30 days, a reminder shall be issued by BSE to the listed company through SCORES directing expeditious redressal of the grievance within another 30 days
6. For any failure to redress investor grievances pending beyond 60 days by listed companies, stock exchange shall initiate appropriate action against the listed company

Annexure I
NATURE OF COMPLAINTS

1. Non updation of address /Signature or Corrections etc
2. Non-receipt of Bonus
3. Non receipt of Dividend
4. Non receipt duplicate debt securities certificate
5. Non-receipt of duplicate share certificate
6. Non receipt of fractional entitlement
7. Non receipt of interest for delay in dividend
8. Non receipt of interest for delay in payment of interest on debt security
9. Non receipt of interest for delay in redemption proceeds of debt security
10. Non receipt of interest for delay in refunds
11. Non receipt of interest on securities
12. Non receipt of redemption amount of debt securities
13. Non receipt of refund in Public/ Rights issue
14. Non receipt of Rights Issue form
15. Non receipt of securities after conversion/ endorsement/ consolidation/ splitting
16. Non receipt of securities after transfer
17. Non receipt of securities in public/ rights issue
18. Non receipt of shares after conversion/ endorsement/ consolidation/ splitting
19. Non receipt of shares after transfer
20. Non receipt of shares after transmission
21. Non receipt of shares in public/ rights issue (including allotment letter)
22. Non-receipt of interest for delay in dispatch/credit of securities
23. Receipt of refund/ dividend in physical mode instead of electronic mode
24. Receipt of shares in physical mode instead of electronic mode
25. Demat/Remat
26. Any other nature as may be informed from time to time