

A guide to handling your complaint

Private Clients



We are committed to providing a high standard of service to all of our clients. However, we do recognize that on occasion problems may arise and we may fall short of the service levels to which we aspire.

This guide explains what you need to do if you are dissatisfied with any aspect of our products or services and you wish to make a complaint.

We welcome your feedback, as it helps us improve our products and services for our clients.

How to make a complaint

You can contact us in person, in writing, by email or by telephone.

You can contact your Relationship Manager in person or via their direct contact details. Alternatively, you can contact us directly in writing, by telephone or via our website.

208, Ceejay House
Shivsagar Estate
Dr. Annie Besant Road
Worli
Mumbai 400018
Telephone: +91-22-6719 6000

barclays.in/BSIPL

Complaints made by email

If you have a complaint about any aspect of our service then you can email us at BSIPL.concerns@barcap.com

If you send us a complaint by email, we will normally respond to you in writing but we may also choose to respond by return email or by telephone.

Information you need to provide

To help us investigate and resolve your complaint as quickly as possible, please provide the following information:

- your name and address
- account details
- a clear description of your concern or complaint
- details of what you would like us to do to resolve the complaint
- copies of any relevant documents/information
- a daytime telephone number where we can contact you
- any times you would prefer us to contact you

How we will handle your complaint

We will try to resolve your complaint as quickly as possible. The first step is for us to be clear about the nature of your complaint, and to identify what we can do to resolve the issue. The more information you can provide us, the better.

We will confirm who will handle your complaint and give you details of how to contact them. Please note, this may not be the person to whom you originally made your complaint. We will also provide you with a unique reference number.

We will aim to resolve your complaint within four weeks of the date of receipt. However, if we are unable to finalize our investigations within this time frame due to the investigation taking more time, we will send you an update before the end of four weeks to let you know when we expect to be able to reply. If we have been unable to complete our investigations within eight weeks, we will write to you again to explain why there is a delay. When we have finished our investigations into your complaint we will get in touch with you to provide you with a full response to your complaint.

If you are still not satisfied...

We aim to resolve all complaints as quickly as possible and to your complete satisfaction. If you are not satisfied with our response or the handling of your complaint, please let us know and we will once again work with you to agree an appropriate way forward.

If you are still not satisfied, you may have the option to refer your complaint to any of the following authorities:

Securities and Exchange Board of India
Office of Investor Assistance and Education SEBI
SEBI Bhavan
Plot No.C4-A
G Block
Bandra Kurla Complex
Bandra (E)
Mumbai 400 051

Telephone: +91-22-2644 9000 / 4045 9000
Fax: +91-22-2644 9016-20 / 4045 9016-20
Email: sebi@sebi.gov.in
www.sebi.gov.in

SEBI takes up grievances related to the issuance and transfer of securities and non-payment of dividends with listed companies. In addition, SEBI also takes up grievances against the various intermediaries registered with it and related issues. You may

lodge the complaint within three years from the date of cause of the complaint.

Please make a note of the procedure for filing of complaint on the SEBI SCORES portal and benefits of the same. For further information and FAQ in this regard you may like to refer SEBI SCORES website at the link <https://scores.gov.in/>

Procedure for filing of complaints on SCORES

- a. From August 01, 2018, it is mandatory to register on SEBI SCORES for lodging a complaint.
- b. To become a registered user of SEBI SCORES, investors may click on “Register here” under “Investor Corner” appearing on the homepage of SCORES portal. Investors will have to fill in Registration form. Fields like Name, Address, E-mail Address, PAN and Mobile Number are mandatory fields and are required to be filled up. The username and password of SCORES will be sent to the investor’s registered email id. If an investor is already a registered user, they can login by entering their username and password.
- c. After logging into SEBI SCORES, investors must click on “Complaint Registration” under “Investor Corner”.
- d. Investor should provide complaint details.
- e. Investors must select the correct complaint category, entity name, and nature of complaint.
- f. Investors must provide complaint details in brief (up to 1000 characters).
- g. A PDF document (up to 2MB of size for each nature of complaint) can also be attached along with the complaint as supporting document.
- h. On successful submission of complaint, system generated unique registration number will be displayed on the screen which may be noted for future correspondence. An email acknowledging the complaint with complaint registration number will also be sent to the email id entered in the complaint registration form. A text message will also be sent to the investor informing them about registration of the complaint.

Benefits of filing of complaints on SEBI SCORES

- a. Effective communication
- b. Speedy redressal of the grievances

All complaints regarding trades effected on the exchange through us can be taken up with the exchange on which transaction has been executed.

National Stock Exchange of India
Investor Grievance Cell
National Stock Exchange of India Ltd.
Exchange Plaza, Plot no. C/1, G Block,
Bandra-Kurla Complex, Bandra (E)
Mumbai 400 051
Telephone: +91-22-2659 8190
Fax: +91-22-2659 8191
Email: ignse@nse.co.in
www.nseindia.com
Bombay Stock Exchange of India
Department of Investor Services
Bombay Stock Exchange Ltd.
Phiroze Jeejeebhoy Towers, Dalal Street,
Mumbai 400 001

Telephone: +91-22-2272 1233/34
Fax: +91-22-2272 1919
Email: is@bseindia.com
www.bseindia.com
Any complaints relating to depository activities undertaken through us can be taken up with the relevant depository.

National Securities Depository Services
Officer In Charge
National Securities Depository Ltd.
Trade World, A Wing, 4th & 5th floors
Kamala Mills Compound
Lower Parel
Mumbai 400 013

Telephone: +91-22-2499 4200
Fax: +91-22-2497 6351
Email: info@nsdl.co.in
www.nsdl.co.in

Alternatively you can refer your complaint to the Managing Director, Global Client Experience within Barclays who can be contacted using the details below:

Managing Director
Global Client Experience
1 Churchill Place
Canary Wharf
London
E14 5HP

Email: mdgce@barclays.com

Barclays offers wealth and investment products and services to its clients through Barclays Bank PLC registered in England and operates in India through its subsidiaries, including Barclays Securities (India) Private Limited (BSIPL). BSIPL is a company incorporated under the Companies Act, 1956 having CIN U67120MH2006PTC161063. BSIPL is registered and regulated by the Securities and Exchange Board of India (SEBI) as a Portfolio Manager INP000002585, Stock Broker INZ000269539 (member of NSE and BSE), Research Analyst: INH000001519; Depository Participant with the National Securities & Depositories Limited (NSDL): DP ID: IN-DP-NSDL-299-2008, Investment Adviser: INA000000391. BSIPL is also registered as a Mutual Fund Advisor having AMFI ARN No. 53308. The registered office of BSIPL is at 208, Ceejay House, Shivsagar Estate, Dr. A. Besant Road, Worli, Mumbai – 400 018, India. Telephone No: +91 22 67196363. Fax number: +91 22 67196399 Compliance Officer contact details: Name: Mr. Anupam Mohaney, Contact number: +91 22 61754000, E-mail: bsiplcompliance@barcap.com Investor Grievance E-mail: BSIPL.concerns@barcap.com. Website: www.barclays.in/bsipl
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