

Ref to SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/30 Dated February 15, 2023

1. Registration Details

Registered Office & Head Office:	4A, Ocus Technopolis Sector 54, Golf Club Road, Gurgaon, Haryana 122002
Mumbai Office:	Vaibhav Chambers, 7th Floor, Plot No.1, Bandra-Kurla Complex, Bandra (East), Mumbai-400051

Depository Participant Name	Registration Number	Registered Address	Branch Address	Contact Number	Email id
ORBIS FINANCIAL CORPORATION LIMITED	IN-DP-521-2020	4A, Ocus Technopolis Sector 54, Golf Club Road, Gurgaon, Haryana 122002	NA	+91 124 4546530/4546516	dporbis@orbisfinancial.in , clientservicing@orbisfinancial.in , kyc@orbisfinancial.in

PROFESSIONAL CLEARING MEMBER	Registration Number	Registered Address	Branch Address	Contact Number	Email id
ORBIS FINANCIAL CORPORATION LIMITED	INZ000165534	4A, Ocus Technopolis Sector 54, Golf Club Road, Gurgaon, Haryana 122002	NA	+91 124 4546503	clientservicing@orbisfinancial.in , pcmorbis@orbisfinancial.in

2. KMP Details

S.No.	Name of the Individual	Designation	Mobile No.	Email
1	ATUL GUPTA	Chairman & Whole Time Director	+91 9810103700	atul.gupta@orbisfinancial.in
2	SHYAMSUNDER BASUDEO AGARWAL	Managing Director & CEO	+91 9820571141	shyam.agarwal@orbisfinancial.in
3	ASHU AGGARWAL	Chief Financial Officer	+91 9818624040	ashu.aggarwal@orbisfinancial.in
4	PRACHI KHANNA	Company Secretary	+91 9968871857	prachi.khanna@orbisfinancial.in
5	ASHWANI KUMAR	Compliance Officer	+91 9871554457	ashwani.kumar@orbisfinancial.in

3 (1) Step-by-step procedures for opening an account

Orbis provides a seamless and hassle-free Client-On Boarding experience to its clients.

Orbis works on the principle of One Point contact for all clients at the time of on-boarding to ensure seamless transition and going live at the earliest.

Right from evaluating clients through Know Your Customer (KYC), Anti Money Laundering (AML), Foreign Account Tax Compliance Act (FATCA) Compliance, fraud prevention and detection as an integral part of the verification process, Orbis ensures that all regulatory compliances are met with, and approvals obtained.

At Orbis, we have devised a simple investor-friendly onboarding process for all our clients by having a Writeable Master Client Information Form [MCIF] that helps in populating the entire Application Pack electronically at our end after initial verification. This eliminates any scope for errors, corrections, or overwriting.

We follow the below process for seamless and speedy client account opening: -

Sharing of Writeable Master Client Information Form [MCIF] along with KYC documents Check List with the client.

The step-by-step process which we follow at Orbis: -

1. Client/Intermediary Fills MCIF & share along with scan of KYC documents.
2. Orbis shares E-copy of filled document pack (Custody Agreement, clearing agreements, DP account opening form & Instruction Check list).
3. IPV and OSV to be done by Orbis/intermediary (SEBI registered).
4. Client needs to send the completed documents to Orbis.
5. On verification of complete documents Orbis opens the respective accounts.
6. Welcome communication to client through e-mail.

3 (2) Grievance Escalation Matrix

Details of	Contact Person	Address	Contact No.	Email Id
Customer Care	APARNA MISHRA	4A, Ocus Technopolis Sector 54, Golf Club Road, Gurgaon, Haryana 122002	+91 9137246078	aparna.mishra@orbisfinancial.in
Head of Customer Care	Avanit Kumar Singh	Vaibhav Chambers, 07th Floor-Bandra-Kurla Complex, Bandra (East), Mumbai – 400051.	+91 9076040107	avanit.singh@orbisfinancial.in
Compliance Officer	ASHWANI KUMAR	4A, Ocus Technopolis Sector 54, Golf Club Road, Gurgaon, Haryana 122002	+91 9871554457	ashwani.kumar@orbisfinancial.in
Managing Director & CEO	SHYAMSUNDER BASUDEO AGARWAL	Vaibhav Chambers, 7th Floor, Plot No.1, Bandra-Kurla Complex, Bandra (East), Mumbai-400051	022-40776570	shyam.agarwal@orbisfinancial.in

3 (3) How to find out status of complaints

Grievance Redressal mechanisms: -

Investors can approach Orbis to register a complaint through any of our touch points mentioned below: -

1. Email to Orbis.
2. Letter to Orbis.
3. Letter to SEBI, Exchanges & Depositories.

➤ Redressal mechanism and Standard Operating Procedure [SOP] to resolve the Grievances.

Investor complaints arise due to a deficiency of service experienced by Investors. They include shortfalls in the expected delivery standards, either due to inadequacy of facilities available or through the attitude of staff towards the Investors. The Investor is entitled to make a complaint in writing, orally or

telephonically. He can approach Orbis to register a complaint through any of our touch points mentioned below and expect a response within 10 business days of complaint registration in the normal course.

Procedure 1: -

Email: Investors can send an email to grievance@orbisfinancial.in

Procedure 2: -

Letter: Investor can write to us with their query/complaint to our registered office address as mentioned below: -

Orbis Financial Corporation Limited
4A, Ocus Technopolis, Sector 54,
Golf Club Road, Gurugram- 122 002
Haryana, India.

Investors can write to us at grievance@orbisfinancial.in if they do not receive a response within 10 business days of writing to Orbis, or if they are not satisfied with the response received. The investor can expect a reply within 10 business days of approaching to us.

Procedure 3: -

In case the investors do not receive a response within 21 calendar days of approaching Orbis, or if they are not satisfied with the resolution received from Orbis, they can escalate their issue to SEBI (Securities and Exchange Board of India) and update their complaint on SCORES (SEBI Complaints Redress System).

SCORES facilitates you to lodge your complaint online with SEBI and subsequently view its status <http://scores.gov.in/>. You can also lodge your complaints pertaining to KRA {KYC Registration Agency} through the SCORES system.

SEBI has launched a toll-free helpline service number (1800 22 7575 / 1800 266 7575) for investors all over India in 14 languages available on all working days during Monday to Friday from 9:30 a.m. to 5.30 p.m. The toll-free helpline service is available on all days from 9:30 a.m. to 5:30 p.m. (excluding declared holidays).

➤ **Process after receiving the grievances: -**

On receiving the complaint through email, it will be automatically marked to the Compliance Department and to the Senior Management.

On receiving the complaint through letter from client, exchange, SEBI and Depository, same will be marked to the Compliance Department and to the Senior Management.

➤ **Maintaining Record of the grievances and its Redressal: -**

The record of the grievances and the Redressal are entered in the Register maintained for the purpose. Further to this, to keep track of all the grievances & their resolution, pending cases, if any, Grievance Resolution Matrix is maintained on the basis of set parameters which are explained in Annexure 2.

Grievance Resolution Matrix - Annexure 2

Nature of Complaint	No of cases pending at the beginning of the month	No of cases received during the month	No of cases resolved during the month	Manner of Redressal (Letter / E-mail etc.)	No of cases pending at the end of the month	No of cases pending for more than 30 days	Reasons for pendency as shown in column (6)
	1	2	3	4	(5) = (1+2-3)	6	7
	NIL	NIL	NIL	N.A.	NIL	NIL	N.A.
Total	NIL	NIL	NIL	N.A.	NIL	NIL	N.A.