

Annexure 1 - List of violations / non-compliances along with classification and prescribed actions**Annexure 1.4 - Actions for non-compliances observed during handling of Investor grievances**

Sr. No.	Details of Contravention	Action in case of first instance	Action in case of repeat instance	Tag
1	Member has not displayed the following information: a) SCORES/SMARTODR (Website and welcome kit given to investors at the time of registration) i) Process and registration of SCORES portal / complaint on SMART ODR ii) Mandatory details (Name, PAN, Address, Mobile No., Email ID) for filing complaints on SCORES/SMARTODR iii) Benefit of SCORES/SMARTODR b) Information about the grievance redressal mechanism as specified by SEBI circulars (Website and display at all the TM and APs offices) c) Investor Grievances "escalation matrix" on the website and mobile application under the 'Contact Us' page. (Website) d) Complete data on complaints received against them or against issues dealt by them and redressal thereof submitted to the Exchange within prescribed timelines and format (Website) e) Investor charter with relevant details on a separate page, with link on TM's website homepage (Website, prominent places in the office and part of account opening kit to the clients, through e-mails/ letters etc) f) Dissemination of the provisions of the SEBI circular SEBI/HO/OIAE/OIAE_IAD-1/P/ CIR/2023/135 dated July 31, 2023 (and its update from time to time on the Website)	Advise + direction to comply within 30 days.	2nd time- Rs. 10,000/- + direction to comply within 30 days. 3rd time & onwards- 50% escalation on previous + direction to comply within 30 days.	Financial Disincentive
2	Member has not complied with the mechanism of Online dispute resolution	Advise + direction to comply within 30 days.	2nd time- Rs. 10,000/- + direction to comply within 30 days. 3rd time & onwards- 50% escalation on previous + direction to comply within 30 days.	Financial Disincentive
3	Member has not taken adequate steps for redressal of grievances of the clients in specified timeline.	Rs. 1,000 per case, per day	-	Material

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4	Unauthorized trading by the broker as established per arbitration award.	<p>Rs. 50,000/- per case or 3% of admissible claim value, whichever is higher. (Subject to Maximum cap of Rs. 5,00,000/-)</p> <p>In addition to the above penalty, a) Member shall be referred to Inspection. b) The Member shall be debarred from taking new clients for a period of one month, in case 10 complaints are determined to be unauthorized trading cases by Arbitration in the preceding quarter. c) If the number of unauthorized cases persist as stated in (II b) above for three consecutive quarters such Member shall be debarred from taking new client / Authorized Person (APs) for a period of three months and the case shall be placed before the relevant Committee for action.</p>	-	Material