

INVESTOR GRIEVANCE REDRESSAL POLICY OF DOCMODE HEALTH TECHNOLOGIES LIMITED

A. TITLE

This Policy shall be called ‘Investor Grievance Redressal Policy’.

B. PREAMBLE AND OBJECTIVE

The Company is committed to adhere to the highest standards of Investor Relations and provide efficient services to them and effectively address and redress their grievances in a timely manner.

With this objective, the Company has formulated the Policy on Investors’ Grievance Redressal Mechanism.

To serve the investors in a faster and efficient manner, the Company has appointed Bigshare Services Private Limited as its Registrar & Share Transfer Agents (“RTA”). The RTA is primarily responsible for handling security holders’ related affairs of the Company. For contact detail, refer to Contact Detail of RTA mentioned in this Policy.

The Company Secretary of the Company acts as the Compliance Officer of the Company under the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 (“LODR”) and Nodal Officer under the Companies Act, 2013 and is responsible for ensuring provision of prompt and effective services to the investors and monitoring the dedicated email address of the Company for investor grievances.

C. DEFINITION:

- a. “**Board**” means the Board of Directors of Docmode Health Technologies Limited (“Docmode”)
- b. “**Company**” means Docmode Health Technologies Limited.
- c. “**Policy**” mean this Policy on Investors’ Grievance Redressal Mechanism.
- d. “**SCORES**” is a web based centralized grievance redress system of SEBI (<http://scores.gov.in>), which enables the investors to lodge and follow up their complaints and track the status of redressal of such complaints online from the above website from anywhere.
- e. “**Stipulated Turnaround Time**” means the timelines as specified in the Investor Service Timelines and Classification as Grievance section of this Policy.

The words and phrases not defined under this Policy will carry the same meaning as defined under the Articles of Association of the Company; the Securities and Exchange Board of India Act, 1992 read with the rules and regulations made thereunder, including the LoDR; and the Companies Act, 2013 read with the rules made thereunder.

4. SCOPE:

The coverage of this policy is to redress the grievance of all the securities issued by the Company, which are listed on the stock exchanges in India. At present the equity shares of the Company is in process of getting listed on Emerge platform of NSE.

5. INVESTORS COMMUNICATIONS:

The RTA and the Company receives various correspondence / communication from the investors, either directly or forwarded by the stock exchanges or uploaded on the SEBI's SCORES platform, relating to the securities, annual reports, dividends and ancillary matters. These communications may either be complaints or mere queries / requests by the security holders.

The Company has well defined guidelines with respect to classification of security holders' communication / grievances, servicing timelines and the process for redressal of grievances and the escalation matrix thereof.

6. INVESTOR SERVICE TIMELINES AND CLASSIFICATION AS GRIEVANCE.

The Company and its RTA shall follow the following timelines for performance of their respective duties towards the investors:

- a. Requests for change of address, non-receipt of annual reports, notice of general meetings, updation of bank details (for holdings in physical form) are addressed by the RTA within a period of 7 working days from the receipt of the request or in case, any supporting documents are required by the RTA for addressing the request, within a period of 7 working days from the receipt of such documents to the RTA's satisfaction.
- b. Requests for transfers/ transmission/ duplicate security certificate, change of name, dematerialization, and loss of security certificates and other matters not specified in (a) above, are addressed by the RTA within a period of 7 to 15 days from the receipt of the request. In case, any supporting documents are required by the RTA from the investor or any other party for addressing the request, such matters shall be addressed within a period of 15 days from the receipt of such documents to the RTA's satisfaction.
- c. Matters not specifically mentioned herein above and for the redressal of which, if any statutory timelines have been prescribed, the Company and the RTA shall address such grievance within the timeline as prescribed under the statute or within maximum 15 days, whichever is earlier.

Classification of security holders' communication as Grievance:

- a. Multiple correspondence / communications or reminders received for the same matter within the Stipulated Turnaround Time for handling of the query / communication shall be treated as grievance.

- b. If a query is resolved after the Stipulated Turnaround Time and there is no reminder from the investor during such time period, such query shall not be treated as complaint.
- c. In case of any ambiguity, the Company Secretary shall be the sole authority to decide on the nature and classification of the communication and the decision of the Company Secretary shall be final and binding.
- d. For clarity, examples of request v/s complaint / grievance are presented below:

No.	Communication not treated as complaint	Communication treated as complaint
1.	Non-receipt of annual report	
	First request or any such communication w.r.t. non - receipt of annual report will be considered as a request if, the Company has dispatched the annual report to the security holder on or before the due date(s) through permissible means. Such communication shall be treated as request for an additional copy of the annual report. The Company shall respond to the request by intimating the original date of dispatch of annual report and will also share a copy of the annual report in compliance with the security holder's request.	Subsequent request(s) for non-receipt of annual report to be treated and recorded as a complaint if, (a) the Company / RTA has not dispatched the annual report to the security holder on or before the due date(s), or (b) the Company / RTA has not responded to investor's request within the Stipulated Turnaround Time.
2.	Non-receipt of dividend / Interest / Principal amount	
	First request or any such communication Any communication w.r.t. non-receipt of w.r.t. non-receipt of dividend / interest/ principal will be considered as a query / request if, the Company has credited the dividend/ interest / principal to the bank account of the investor or dispatched dividend/ interest / principal amount warrants / demand drafts on or before the due date(s). When the Company is unable to pay out the dividend/ interest/ principal: a) In case where the dividend/ interest/ principal is to be credited to the bank account of the investor, and such credit has been declined by the bank, the Company will pay out the dividend/ interest/ principal through a warrant / demand draft in favor of the investor. b) In case the dispatched dividend/ interest/ principal warrant / demand draft	Any communication w.r.t. non-receipt of dividend/ interest/ principal warrants / demand drafts sent to the Company or to the RTA after the expiry of the Stipulated Turnaround Time for issuance of duplicate dividend/ interest/ principal warrant will be considered as a complaint

	is returned undelivered, the Company will proceed with redispaching the dividend/ interest/ principal warrant / demand draft only upon a written request by the investor. Such communication from the investor will be treated as a request and not a complaint.	
3.	Non-receipt of securities' certificates	
	Non-receipt of duly authenticated security certificate(s) upon sub-division / transfer / transmission / consolidation / rematerialization will be considered as a query if, the Company has dispatched the security certificates within prescribed time limits. The Company shall respond to the query by sharing details of dispatch to the investor. It is clarified that upon the dispatch of security certificate through registered post or courier or any other approved mode, the Company shall be deemed to have discharged its duty and the investor are expected to coordinate with the postal / courier agency for the securities certificates dispatched.	Communication w.r.t. non-receipt of duly authenticated security certificate(s) after the expiry of the statutory period for giving effect to the respective request will be treated as a complaint if, the Company has not dispatched the security certificates to the investor.
4.	Security holder communication through statutory authorities	
	Any communication from investors through statutory authorities which is not treated as a complaint by the statutory authority, and which would not have been treated as a complaint by the Company if it was directly addressed to the Company, will not be treated as a complaint. As per SEBI circular dated March 26, 2018, any grievances submitted to SEBI through SCORES will not be treated as complaints if the grievance is redressed by the Company within 30 days. Accordingly, such grievances registered with SEBI, will not be treated as complaints by the Company.	At times, requests / grievances are directly communicated to the statutory authorities by the investors. Such communications may not always qualify as a complaint under the guidelines adopted by the Company. However, since the statutory authorities treat all communication received from investors as complaint, regardless of the nature of such communication, the Company is constrained to follow the classification as followed by the statutory authorities. Accordingly, any communication from investors received through statutory authorities viz. stock exchanges, Registrar of Companies, Regional Directors, SEBI, etc. which is treated as complaint by such statutory authority, will be treated as a complaint by the Company.
	Miscellaneous	
	Correspondence w.r.t. change in address,	Any communication from the

nominees etc. will be considered as a request and not as a complaint if, the request is addressed within the Stipulated Turnaround Time. Any communication / suggestions / enquiry about procedures for any action will be considered as a request / general enquiry and not a complaint. Any communication requisitioning information or documents relating to the Company or its operations as per statutory rights available to the investor will be treated as request if, the requisition is in proper format and the Company has responded to the same within prescribed time limits. Incomplete communications, communications without requisite supporting documentation or any communication which is vague or nonspecific in nature will not be treated as a complaint. Communications / complaints in relation to matters that are subjudice will not be treated as a complaint under this Policy.	investor not responded to by the Company or not responded by the Company within the Stipulated Turnaround Time will be considered as complaint.
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7. INVESTOR GRIEVANCE REDRESSAL MECHANISM:

- a. Investors can lodge a complaint for non-receipt of any right available to them or failure of the RTA / Company by giving details of their name, folio no., DP ID / Client ID, nature and full particulars of their complaint directly to the RTA, except for matters relating to securities / dividend transferred to Investor Education and Protection Fund (IEPF).

For IEPF related matters, investors can directly contact the Nodal Officer appointed by the Company as specified under this section of this Policy.

- b. Any information, other than those specified above or any supporting documentation required for redressal of the complaint shall be informed to the investors by the RTA within the timeline specified under the Investor Service Timelines and Classification as Grievance section of this Policy.

Investors are requested to furnish all the requisite information along with duly executed documents at the earliest to avoid any delay in redressal of their complaints.

- c. In case of non-satisfactory response from RTA or non-receipt of a reply from the RTA within the Stipulated Turnaround Time, investors may approach and lodge their complaints through the Company's designated email ID for investor grievances-legal@docmode.com.

The designated email id is also displayed on the Company's website www.docmode.org.

Alternatively, investors can send their complaints at the registered office or the corporate office of the Company.

If the investor does not receive a reply from the RTA within the stipulated turnaround time, he / she may approach the Company at the credentials mentioned above.

- d. Investors are requested to approach the RTA, or in case of any inaction by the RTA, the Company, for redressal of their concerns prior to raising their concerns with the regulatory authorities.
- e. Only complaints sent on the addresses / email IDs mentioned in this Policy will be treated as valid complaints.
- f. The Company periodically obtains status report of the complaints from the RTA. The Company also obtains, annually, from the RTA, report by their independent internal auditors on the RTA activities including the process of grievance handling.
- g. As required under Regulation 13 of the SEBI Listing Regulations 2015, the Company files with the Stock Exchanges and places the statement of investor complaints at the Board meeting on a quarterly basis. Further, the Company also makes annual disclosure of the statement of investor complaints in its annual report pursuant to the SEBI Listing Regulations 2015. Further, the Company places the Internal Audit Report at the Board meeting as required under applicable SEBI Listing Regulations 2015.
- h. The Stakeholders Relationship Committee is responsible for the examination and redressal of the complaints by investors and the Committee periodically reviews the effectiveness of the redressal mechanism.

8. MISCELLANEOUS:

The Company Secretary is authorized to amend the Policy to give effect to any changes / amendments notified by the Ministry of Corporate Affairs or the SEBI.

The amended Policy shall be placed before the Stakeholder Relationship Committee for noting and ratification. This Policy shall be effective from 17th February, 2023 and can be modified, withdrawn or suspended by the Company at its sole discretion without any prior intimation.