

# Process Training on Customer Service & Compliance

## Customer Care

# Processes at Customer Care

- ❖ Welcome Calls
- ❖ Trade Confirmation
- ❖ Square off calling
- ❖ Inbound call desk
- ❖ Inbound email desk
- ❖ Additional calling

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# Touchpoints

- ❖ Toll Free no- 1800 209 3328
- ❖ Alternate no – 4503 2211
- ❖ [Email-customer@dealmoney.in](mailto:Email-customer@dealmoney.in)

# Grievance Handling

- ❖ Compliance id – [compliance@dealmoney.in](mailto:compliance@dealmoney.in)
- ❖ Compliance officer(Eq) –  
anil.bapardekar@dealmoney.in
- ❖ Compliance officer (Comm)-  
anil.bapardekar@dealmoney.in
- ❖ Escalation to MD – [compliance@dealmoney.in](mailto:compliance@dealmoney.in)

# Complaints which require special attention

- Unauthorised trades
- Trade denial
- Brokerage reduction

## Points to remember

- Brokerage of clients- Inform customer care to take confirmation from clients via calls/emails
- Trade denial cases – Pre and post confirmation is must. If one of them is not available , written or verbal confirmation to be arranged.
- For walk-in clients, details to be maintained in walk-in register. Also, post confirmation to be sent via email.
- Quarterly signed ledgers to be provided.
- Satisfactory letter to be provided for all unauthorised cases

**Compliance**

**Following points to be taken into consideration before and after opening of client's trading account:**

- 1. Trades must be placed with prior consent of the client(s).
- 2. Post trade confirmation should be given to the client(s) after market hours.
- 3. Pre trade and post trade confirmation should be done from recorded phone lines only.
- 4. Do not lure / coerce / plead the client(s) to carry out trade.
- 5. Do not disseminate market rumors to client(s) and insist client(s) to trade based on such market rumors.
- 6. Do not give assurance of any reward or fixed return to the client(s).
- 7. Ensure to have signed ledgers of the client(s) at least in a month to avoid dispute of un-authorized trade at later stage.
- 8. Do not inform to commodity client(s) to open a PMS account since carrying out PMS and other related activities are prohibited by FMC / Commodity Exchange.

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9. Do not provide any statement viz. ledger, DP statement, etc. from your personal email id. If the same is required by client(s), kindly ask them to write to Customer Care [customercare@dealmoney.in](mailto:customercare@dealmoney.in)
10. Ensure to carry out trade in clients' account based on clients' risk profile as specified in Account Opening Form (AOF).
11. Do not accept cash from the client(s) to carry out trades / transactions.
12. Ensure not to enter into any synchronized trading wherein buyers and sellers are identified.
13. Do not enter into any trade(s) which may result in speculation / manipulation of particular share prices in either side (upward or downward).
14. Ensure trades are placed from the designated terminal id only i.e. dealer / RM should place trades in clients' trading account mapped to him from allotted terminal id only.
15. Ensure to abide by Company's internal policies communicated from time to time OR contact Compliance Department in case any query / clarifications in this regard.

Thank You  
Happy Trading!!!