

POLICY ON INVESTOR GRIEVANCE REDRESSAL

Equirus Wealth Private Limited

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OBJECTIVES OF THE POLICY

Equirus Wealth Private Limited (“EWPL”) believes that Investor service is a vital element for sustained business growth. EWPL believes that Prompt and efficient service is essential to retaining existing relationships and therefore Client satisfaction becomes critical for EWPL. Client queries and complaints constitute an important voice of Client and this policy details grievance handling through a structured grievance redressal framework. Grievance redressal is supported by a review mechanism, to minimize the recurrence of similar issues in future.

Objective of this policy document is to ensure that:

- ☐ Issues raised by investors are dealt with courtesy and are resolved on time.
- ☐ The Company will treat all the complaints efficiently and fairly without any bias.

GRIEVANCE REDRESSAL POLICY

EWPL provides services as AMFI registered Mutual Fund Distributors, distributor/ referrer of third party investment products, SEBI registered Portfolio Manager, Stock Broker, Depository Participant and Research analyst. Clients/ Investors can approach EWPL for grievance redressal as per below mentioned matrix:

- ☐ Client shall first approach to Compliance Officer/ Investor relation officer for raising complaint.
- ☐ Compliance Officer / Investor relation officer shall respond to client/ Investor with acknowledgment of receipt of complaint with complaint number.
- ☐ First assistance in response to the complaint raised by client shall be sent by Grievance Department within 3 working days of receipt of complaint.
- ☐ Compliance Officer shall resolve the investor / client complaint within 10 working days. If the Compliance Officer requires the assistance of other department or senior management to resolve the complaint, he /she shall ensure to complete the resolution process within 30 days.
- ☐ Clients /Investors shall approach to Compliance Officer / investor resolution officer for complaints as per below mentioned contact details:

For mutual fund distribution and other third-party investment products

REGISTRATION OF COMPLAINTS

For queries related to mutual fund distribution and other third-party investment products, clients can register their complaints at below mentioned contact details:

1. **Email** - Clients can email us at grievance@equiruswealth.com
2. **Fax** - +91-22-4332-0601
3. **Letter** - 3rd floor, House no.9, Magnet Corporate Park, b/h Intas, sola bridge, S.G. Highway, Thaltej Ahmedabad 380054.

or

Office no. A 2102 B A Wing 21st Floor, Marathon Futurex, N M Joshi Marg, Lower Parel, Mumbai – 400013.

RESOLUTION OF COMPLAINTS

- ☐ General Turn Around Time (TAT) for response to complaint is 10 days from the receipt of the valid complaint in writing.
- ☐ Primary responsibility is with the Compliance Officer to resolve the complaint for which he would liaise with the other relevant departments (Like Operations Team of Mutual Fund Distribution, Sales Team etc.)
- ☐ If the issue cannot be resolved by the Compliance Officer, the same will be escalated again to the

Senior Management.

- ☐ All complaints received shall be recorded internally including how the same has been resolved.

ESCALATION MATRIX

1. **Level 1** - If issue of client stands unresolved in 10 days, client can contact Compliance Officer for redressal of issues by sending email at equirus_compliance@equirus.com or can call on +91 93249 17317 between 9:30 a.m. to 6:00 p.m.
2. **Level 2** - If client is not satisfied with the resolution provided through the **Level 1** method of handling complaint; the investor / client can escalate the issues to the next higher level i.e. to the Director of EWPL. Such escalation should be made in writing email to Director at wealth@equiruswealth.com

For PMS

REGISTRATION OF COMPLAINTS

For queries related to portfolio management services, clients can register their complaints at below mentioned contact details:

1. **Email** - Clients can email us at equirus_compliance@equirus.com
2. **Fax** - + 91-079-6190 9560
3. **Letter** - 3rd floor, House no.9, Magnet Corporate Park, b/h Intas, sola bridge, S.G. Highway, Thaltej, Ahmedabad 380054
4. SEBI has launched a centralized web-based complaints redress system (SCORES), which enable investors to lodge and follow up their complaints and track the status of redressal of such complaints from anywhere. This also enables the market intermediaries and listed companies to receive complaints from investors against them, redress such complaints and report redressal. All the activities starting from lodging of a complaint till its disposal by SEBI would be carried online in an automated environment and the status of every complaint can be viewed online at any time. An investor, who is not familiar with SCORES or does not have access to SCORES, can lodge complaints in physical form. However, such complaints would be scanned and uploaded in SCORES for processing.

Link: <http://scores.gov.in>

Investors/ clients may send their complaints to: Office of Investor Assistance and Education, Securities and Exchange Board of India, SEBI Bhavan. Plot No. C4-A, 'G' Block, Bandra-Kurla Complex, Bandra (E), Mumbai - 400 051.

RESOLUTION OF COMPLAINTS

- ☐ General Turn Around Time (TAT) for response to complaint is 10 days from the receipt of the valid complaint in writing.
- ☐ Primary responsibility is with the Investor relation Officer/ Compliance Officer to resolve the complaint for which he would liaise with the other relevant departments (Like Operations Team, Sales Team of Portfolio Management Services, Back office team etc).
- ☐ If the issue cannot be resolved by the Compliance Officer, the same will be escalated to the Senior Management.
- ☐ All complaints received shall be recorded internally including how the same has been resolved.

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on +91 93249 17317 between 9:30 a.m. to 6:00 p.m.

2. **Level 2** - If client is not satisfied with the resolution provided through the **Level 1** method of handling complaint; the investor / client can escalate the issues to the next higher level i.e. to the Principal Officer of EWPL. Such escalation should be made in writing email to the Principal Officer at pmsops@equiruswealth.com

For STOCK BROKING

REGISTRATION OF COMPLAINTS

For queries related to stock broking services, clients can register their complaints at below mentioned contact details:

1. **Email** - Clients can email us at ewplgrievance@equiruswealth.com
2. **Fax** - + 91-079-6190 9588
3. **Letter** - 3rd floor, House no.9, Magnet Corporate Park, b/h Intas, sola bridge, S.G.Highway, Thaltej, Ahmedabad 380054
4. SEBI has launched a centralized web-based complaints redress system (SCORES), which enable investors to lodge and follow up their complaints and track the status of redressal of such complaints from anywhere. This also enables the market intermediaries and listed companies to receive complaints from investors against them, redress such complaints and report redressal. All the activities starting from lodging of a complaint till its disposal by SEBI would be carried online in an automated environment and the status of every complaint can be viewed online at any time. An investor, who is not familiar with SCORES or does not have access to SCORES, can lodge complaints in physical form. However, such complaints would be scanned and uploaded in SCORES for processing.

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- ☐ If the issue cannot be resolved by the Compliance Officer, the same will be escalated to the Senior Management.
- ☐ All complaints received shall be recorded internally including how the same has been resolved.

ESCALATION MATRIX

1. **Level 1** - If issue of client stands unresolved in 10 days, Client can contact the Compliance Officer for redressal of issues by sending email at ewplgrievance@equiruswealth.com or can call on +91 9427028138 between 9:30 a.m. to 6:00 p.m.
2. **Level 2** - If client is not satisfied with the resolution provided through the **Level 1** method of handling complaint; the investor / client can escalate the issues to the next higher level i.e. to the Designated Director of EWPL. Such escalation should be made in writing email to the Principal Officer at ewplcompliance@equiruswealth.com.

For DEPOSITORY PARTICIPANT**REGISTRATION OF COMPLAINTS**

For queries related to stock broking services, clients can register their complaints at below mentioned contact details:

1. **Email** - Clients can email us at ewplgrievance@equiruswealth.com
2. **Fax** - + 91-079-6190 9588
3. **Letter** - 3rd floor, House no.9, Magnet Corporate Park, b/h Intas, sola bridge, S.G.Highway, Thaltej, Ahmedabad 380054
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For RESEARCH ANALYST**REGISTRATION OF COMPLAINTS**

For queries related to stock broking services, clients can register their complaints at below mentioned contact details:

1. **Email** - Clients can email us at ewplgrievance@equiruswealth.com
2. **Fax** - + 91-079-6190 9588
3. **Letter** - 3rd floor, House no.9, Magnet Corporate Park, b/h Intas, sola bridge, S.G.Highway, Thaltej, Ahmedabad 380054
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Others

For escalation of grievances with respect to any other products/services, the Client can write to the senior management Equirus Wealth on the following email ids:

Grievance Redressal Officer: ewplgrievance@equiruswealth.com

Disclaimer & Review

This policy & Procedure must be reviewed as and when there are new licenses obtained or regulatory amendments and in absence of any amendment, on yearly basis. It may contain confidential or legally privileged information. The addressee is hereby notified that any disclosure, copy, or distribution of this material or the contents thereof may be unlawful and is strictly prohibited.