

# Grievance Redressal Policy

## A. Introduction

Aequitas Investment Consultancy Private Limited (AICPL), along with its subsidiaries and entities, forms the Aequitas Group. The entities within the group are:

**AICPL**- A SEBI-registered Portfolio Manager providing portfolio management services.

**Riseequities Managers LLP**- A wholly owned subsidiary of AICPL, acting as an Investment Manager for schemes of Aequitas Equity Fund (AIF), registered under SEBI (Alternative Investment Funds) Regulations.

**Aequitas Investments IFSC Private Limited**- A wholly owned subsidiary based in IFSC, GIFT City, serving as a Fund Management Entity (FME) for funds operating within IFSC.

This Grievance Redressal Policy applies universally across all divisions and entities within the Aequitas Group, ensuring compliance with regulatory requirements and maintaining high standards of investor service and transparency.

## B. Objective

This Policy aims to ensure that all grievances raised by investors are handled professionally, transparently, and expeditiously, enhancing investor trust and confidence in the Aequitas Group. Specifically, it seeks to:

- Treat all grievances fairly and equitably.
- Resolve grievances promptly while maintaining stakeholder trust.
- Provide investors with clear, accessible information on the grievance redressal mechanisms available.

## C. Grievance Redressal Process

### 1. Registration of Complaints

Investors can register their complaints through the following channels:

Particular	Email
PMS	Neerav.shah@aequitasindia.in
AIF	harshi.agarwal@aequitasindia.in
IFSC	Saurabh.arora@aequitasindia.in

### 2. Complaint Redressal Officer (CRO):

The following officers are designated CRO:

- For PMS: Neerav Shah
- For AIF: Harshi Agarwal
- For IFSCA: Saurabh Arora

# Grievance Redressal Policy

### 3. Complaint Redressal Appellate Officer (CRAO):

Handles appeals against decisions made by the CRO, the following officers are designated CRAO:

Particular	Email
PMS	Siddhartha.bhaiya@aequitasindia.in
AIF	Siddhartha.bhaiya@aequitasindia.in
IFSC	Subham.agarwal@aequitasindia.in

### 4. Complaint Handling Procedure

- Acknowledge receipt of complaints = within 3 working days
- If a complaint is not accepted, inform the complainant = within 5 working days stating the reasons.
- Process and resolve complaints = within 30 days from receipt of the complaint.
- Provide written reasons in case of complaint rejection.

### 5. Appeal Mechanism

- If dissatisfied with the CRO's decision, investors may file an appeal with the CRAO within 21 days of receiving the decision.
- The CRAO must resolve the appeal within 30 days.

### 6. Escalation

- If the investor remains dissatisfied after exhausting the appeal mechanism, they may escalate their grievance to authorities at the below email id 21 days of the CRAO's decision.

Particular	Email
PMS	Go to the SCORES portal at scores.sebi.gov.in
AIF	Go to the SCORES portal at scores.sebi.gov.in
IFSC	<a href="mailto:grievance-redressal@ifsc.gov.in">grievance-redressal@ifsc.gov.in</a>

### 7. Record-Keeping Requirements

- Maintain records of all complaints, correspondence, and resolutions for a minimum of 6 years.
- Retain records beyond six years if there is ongoing litigation related to the complaint.

### 8. Website Disclosure

- The Grievance Redressal Policy, along with the names and contact details of the CRO and CRAO, shall be prominently displayed on the Aequitas Group website.
- Complaint handling data shall also be made available on the website.


# Grievance Redressal Policy

## 9. Compliance and Reporting

- The Compliance Officer shall ensure adherence to regulatory requirements.
- A section titled Complaint Handling and Grievance Redressal shall be included in the company's annual report (if applicable), summarizing complaints received, resolved, rejected, and pending.

## 10. Review of Policy

This policy shall be reviewed annually by the Principal Officer, Compliance Officer, and a Director of AICPL to ensure it remains effective and compliant with regulatory requirements. Any proposed changes will be submitted to management for approval, formally adopted by the Board of Directors, and implemented across the Aequitas Group.

<b>Policy Date</b>	<b>30<sup>th</sup> April 2024</b>
<b>Approved by</b>	 <b>Mr. Neerav Shah, Director</b>