

Arth Portfolio Management Private Limited

CIN: U66190GJ2023PTC144661



Grievance Redressal Policy

Any grievance and dispute arising in connection with the services of the Portfolio Manager shall to the extent possible be settled amicably between the parties at the earliest.

The clients are requested to send their grievances to the Compliance Officer, the details are as follows.

Details of the Compliance Officer:

Name	Richa Jalan
Email Id	compliance@arth-india.com
Telephone Number	+91-9819537511

The complaint will be resolved on a best effort basis within a period of 21 days from the date of receipt of complaint, as required under SEBI regulations.

If the investor remains dissatisfied with the outcome he can abide by the following mechanisms:

- A) **SEBI Complaints Redress System (SCORES)** : SEBI has set up an online complaints redressal system (SCORES- <https://scores.gov.in/scores/Welcome.html>) for easy retrieval and tracking of complaints.
- The entity will receive the complaints through SCORES and such complaints shall be resolved on a best effort basis within a period of 21 days from the receipt of such complaint. Such a complaint will also be forwarded simultaneously to Association of Portfolio Managers of India (APMI) and APMI shall ensure that an Action Taken Report (ATR) is submitted within 21 days.
 - If the complainant is not satisfied with the action taken by the entity, the complainant shall request the review of the complaint within 15 days of ATR. APMI shall then take cognizance of such a complaint and it may seek clarification on the ATR submitted by the entity. The entity shall then provide required clarification on the ATR and APMI shall then forward a revised ATR within 10 calendar days to the complainant through SCORES.
 - The complainant may seek second review of the ATR provided by APMI within 15 calendar days from the date of submission of ATR by APMI. If the complainant is satisfied with the action taken by APMI, the complaint shall be disposed off on SCORES.
 - In case the complainant is not satisfied with the ATR provided by APMI, Securities and Exchange Board of India (SEBI) shall take cognizance of second review of the complaint through SCORES.
 - SEBI may take up review with the stakeholders, with APMI and / or with the entity. APMI or the

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entity should then take immediate action on receipt of a second review of the complaint and a revised ATR shall be submitted to SEBI within the timeline specified by SEBI.

- f) SEBI or APMI can then seek clarification on the ATR submitted by the entity for SEBI review complaint. The entity should provide required clarification wherever sought and within such a timeline as specified.
- g) The second review complaint shall be treated as 'resolved' 'disposed' or 'closed' only when SEBI 'disposes' or 'closes' the complaint in SCORES. Hence, mere filing of ATR with respect to SEBI review complaint will not mean that SEBI review complaint is disposed of.

B) **Arbitration and Conciliation:** In the event of failure to settle the dispute by mutual negotiations, it may be resolved by arbitration in accordance with provisions of The Arbitration and Conciliation Act, 1996, or any statutory modification or re-enactment thereof for the time being in force. Such Arbitration proceedings shall be held at Surat, Gujarat and the language of Arbitration will be English. The cost of arbitration will be borne as decided by the arbitrator(s). The award of the arbitrator will be final and binding on the parties. Furthermore, Clients can also submit their complaints on The Securities Market Approach for Resolution through Online Dispute Resolution (ODR) Portal for online arbitration and online conciliation for resolution of complaints. The portal can be accessed at <https://smartodr.in/login>