



## **INVESTOR GRIEVANCE REDRESSAL POLICY**

**ARTHALPHA LLP**

**Registered with the Securities and Exchange Board of India as a Portfolio Manager  
with effect from 27 September 2024**

**Registration No. INP000009038**

**ARTHALPHA LLP**

2053, Prestige White Meadows, Whitefield, Bangalore-560066, Karnataka

LLPIN ACC-3208 | SEBI registration no. INP000009038

Contact no. +91 81059-16135 | [www.arthalpha.in](http://www.arthalpha.in)



<b>Policy Name</b>	Investor Grievance Redressal Policy
<b>Policy Version</b>	2.0
<b>Effective Date</b>	27 September 2024
<b>Policy Owner</b>	Compliance Officer
<b>Reviewed By</b>	Principal Officer
<b>Approved By</b>	Designated Partners / equivalent governing body of ArthAlpha LLP
<b>Approval Date</b>	27 September 2024
<b>Last Updated</b>	01 April 2025

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## Document Control

Version	Approval Date	Summary	Approved By
1.0	27 September 2024	Initial Adoption	Designated Partners of ArthAlpha LLP
2.0	01 April 2025	Change in Grievance Redressal Officer	Designated Partners of ArthAlpha LLP

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## 1. OBJECTIVE

- a. This Policy is formulated to provide the best of our services to our Investors and Distributors. We provide easy access to information on our products and services; we also help you get your grievances redressed with ease.
- b. At ArthAlpha LLP, Customers are treated fairly at all times.
- c. We endeavor to resolve client's complaint on a priority basis with utmost transparency.
- d. Resolving your problem helps us review our processes and take necessary steps to prevent recurrence. This Policy was approved by the Board of directors in its meeting held on

## 2. COMPLAINTS REGISTRATION

The various channels available to Investors for registering the complaints are as follows:

- a. You can contact us through our website [www.arthalpha.in](http://www.arthalpha.in)
- b. E-Mail: Investors can log their complaint by sending mail to an email id: investor.  
[investor.complaints@arthalpha.in](mailto:investor.complaints@arthalpha.in)
- c. Grievance Redressal Officer: Investors can contact the Grievance Redressal Officer for redressal of issues. **Grievance Redressal Officer: Harkirat Dhiman, Contact No.: +91 81059-16135, email: [pms.compliance@arthalpha.in](mailto:pms.compliance@arthalpha.in)**
- d. Escalation of Complaints: If an investor is not satisfied with the resolution provided through various channels or the method of handling complaint; the investor can escalate the issues to SEBI Complaints Redress System (SCORES). SEBI maintains SCORES which is a web based centralized grievance redressal system of SEBI. Investors can lodge their grievances / complaints through the SCORES link given below. SCORES enables investors to lodge and follow up their complaints and track the status of redressal of such complaints online from the above website from anywhere. Investors can also lodge grievances / complaints in physical form at any of the offices of SEBI. Such grievances complaints would be scanned and uploaded in SCORES for processing.

<https://scores.sebi.gov.in/>

For further escalation, you can initiate online dispute resolution through the ODR portal on link: <https://smartodr.in/login>

## 3. REDRESSAL OF COMPLAINTS

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## **Responsibility**

- a. Primary responsibility is with the Compliance Officer to resolve the complaint for which he would liaise with the other relevant departments (Operations, Accounts, KYC, Research, Sales etc.).
- b. If the issue persists, the same will be escalated to the Senior Management.
- c. All complaints received shall be recorded internally including the resolution of the complaint.

## **Time for Response**

General Turn Around Time (TAT) for response to complaint is:

- a. Cases involving third party: 15 working days
- b. Scores related complaints: As specified by the regulator from time to time

## **REVIEW**

The Board of directors of the Company shall periodically review the Customer Grievance Redressal Mechanism to ensure that process deficiencies, if any, are addressed. The Board shall also periodically review the Statement of Complaints received, resolved and pending, along with reasons for the same.

Copy of the policy is available at our website: [www.arthalpha.in](http://www.arthalpha.in)

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