



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



Policy Name	Investor Grievance Redressal Policy
Policy Version	2.0
Effective Date	27 September 2024
Policy Owner	Compliance Officer
Reviewed By	Principal Officer
Approved By	Designated Partners / equivalent governing body of ArthAlpha LLP
Approval Date	27 September 2024
Last Updated	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
- b. E-Mail: Investors can log their complaint by sending mail to an email id: investor.
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**
- 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

The Portfolio Manager shall endeavor to resolve investor complaints promptly and transparently.

- a) Complaints received directly by the Portfolio Manager shall be reviewed and responded to within a reasonable time, and in any case within the timelines prescribed under applicable SEBI regulations/circulars, if any.
- b) Complaints received through SCORES shall be handled and responded to by submitting the Action Taken Report within the timeline prescribed under the SCORES framework.
- c) Cases involving third-party information or dependencies shall generally be responded to within 15 working days, subject to applicable regulatory timelines.
- d) Matters escalated through SMART ODR shall be handled in accordance with the timelines and procedure prescribed under the applicable SEBI ODR framework.

4. DISPUTE RESOLUTION / ONLINE DISPUTE RESOLUTION

4.1 Dispute Resolution Framework

If an investor is not satisfied with the resolution provided by the Portfolio Manager, or if the grievance remains unresolved within the applicable timelines, the investor may escalate the matter through the SEBI Complaints Redress System (“SCORES”) and/or the Online Dispute Resolution (“ODR”) mechanism in accordance with the applicable SEBI circulars, master circulars and directions issued from time to time.

4.2 Escalation through SCORES

Investors may lodge or escalate complaints on the SEBI SCORES platform at <https://scores.sebi.gov.in/>. Complaints received through SCORES shall be handled by the Compliance Officer / Grievance Redressal Officer. The Portfolio Manager shall examine the complaint, coordinate with relevant internal teams, submit the Action Taken Report (“ATR”) within the prescribed timelines and maintain records of the complaint, correspondence, ATR and closure.

4.3 Online Dispute Resolution

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Where the grievance is not resolved to the satisfaction of the investor, or where the investor chooses to initiate dispute resolution, the investor may initiate the dispute through the SMART ODR portal at <https://smartodr.in/login>, in accordance with the framework prescribed by SEBI for online resolution of disputes in the Indian securities market.

4.4 Handling of ODR Matters

On receipt of any notice, communication or request from the ODR platform, conciliator, arbitrator, Market Infrastructure Institution, Designated Body, SEBI or any competent authority, the Portfolio Manager shall:

- a) acknowledge and record the matter internally;
- b) appoint / identify the responsible internal officer for coordinating the dispute-resolution process;
- c) collate and submit relevant documents, records, agreements, correspondence, transaction records, client reports and other information as may be required;
- d) participate in conciliation, mediation, arbitration or such other process as may be prescribed under the ODR framework;
- e) comply with applicable timelines, procedural requirements, fees/deposits and directions under the SEBI ODR framework;
- f) maintain confidentiality of client information and records, subject to disclosures required under law or by competent authority; and
- g) implement the settlement, award, order, direction or resolution, as applicable, within the prescribed timelines.

4.5 Records and Monitoring

The Portfolio Manager shall maintain records of all investor grievances, SCORES complaints, ODR references, correspondence, submissions, hearings, settlements, awards, orders, implementation status and closure records. Such records shall be maintained in accordance with applicable SEBI regulations, circulars, master circulars and the internal record maintenance policy of the Portfolio Manager.

4.6 No Restriction on Investor Rights

Nothing contained in this Policy shall restrict the right of an investor to approach SEBI, SCORES, SMART ODR or any other forum or authority available under applicable law.

REVIEW

The Board of Designated Partners 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

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