

## **POLICY ON INVESTOR GRIEVANCE REDRESSAL**

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### **OBJECTIVES OF THE POLICY**

Unicorn Investments Managers LLP believe that Investor service is a vital element for sustained business growth. Unicorn Investments Managers LLP believes that Prompt and efficient service is essential to retaining existing relationships and therefore Client satisfaction becomes critical for Unicorn Investments Managers LLP. 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**

Clients / Investors can approach <<Portfolio Manager Name>> for grievance redressal as per below mentioned matrix:

1. Client shall first approach to Compliance Officer/ Investor relation officer for raising complaint.
2. Compliance Officer / Investor relation officer shall respond to client/ Investor with acknowledgment of receipt of complaint with complaint number.
3. First assistance in response to the complaint raised by client shall be sent by Grievance Department within 3 working days of receipt of complaint.
4. The Compliance Officer shall resolve the investor / client complaint within 10 working days. If the Compliance Officer requires the assistance of another department or senior management to resolve the complaint, he /she shall ensure to complete the resolution process within 30 days.

### **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 [compliance@unicornim.in](mailto:compliance@unicornim.in)
2. Letter – Unicorn Investment Managers LLP, 603 B Wing, Trade World, Kamla City, Senapati Bapat Marg, Lower Parel, Mumbai, Maharashtra – 400013
3. 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.

### **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 [rutvik@unicornim.in](mailto:rutvik@unicornim.in) (or) can call 9167822334 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 Pawan Mehar. Such escalation should be made in writing email to the [pawan@unicornim.in](mailto:pawan@unicornim.in)

After exhausting all available options for resolution of dispute, if client shall not satisfy with outcome, he may avail online conciliation and / or online arbitration as mentioned through Securities Market Approach for resolution through Online Dispute Resolution portal (SMART ODR portal). Fees of proceedings shall be borne by Client/ Portfolio Manager as charged on SMART ODR portal on actuals.