

Investor Grievance Policy

Preamble

Sundaram Alternate Assets Limited has adopted the Sundaram Finance Group's corporate core values stressing Ethical business practices with transparency and accountability, dedicated investor service and prudent efficient policies since inception. As an Investment Manager to the portfolios of various clients, the company believes in creating and protecting interests of our investors. Accordingly, the Investors' Grievance Policy is framed with the objects to protect the interests of the investors.

Process

1. Handling of all investor grievances is a centralized function and is being handled by Client Relations Department in consultation with the Compliance department at corporate office.
2. The Company designated Ms. Padmavathy Ramdoss, Deputy Manager – Portfolio Management Services to receive and redress all the queries, grievances and complaints as per the Standard Operation procedures issued from time to time. A designated e-mail id has been created spmsupport@sundaramalternates.com
3. All Investor Grievances (hard copy or soft copy) that are received should be incorporated in the Register of Grievance and action to be initiated immediately.
4. All the Investor Grievances recorded should be addressed and resolved within 7 working days from the date of receipt of grievance/ complaints as the case may be.
5. Any course of action which involves the concerned department at Head office it would be informed to the concerned Head of the departments for suitable action.
6. If there is no response from concerned department within 5 working days of the complaint, the same would be escalated to Head Compliance for immediate action and if there no response within 7 working days the same would be reported to the Managing Director.
7. All investor complaints should be resolved within time period of 15-30 days of the receipt of the complaint to the PMS Department, Chennai.
8. The Compliance officer should verify and initial all the resolved grievance and complaints, recorded in the Register of Grievance and Complaints.
9. The Register of complaint and Grievance should be made available to the Internal/External Auditors during the time of Audit and to the Regulatory Authorities.
10. The soft copies / hard copies of the complaints received from the customers are preserved by the Client Relations Department for future reference, if required.

Address of Client Relations Department

Sundaram Alternate Assets Limited

Portfolio Management Services Division

Deshbandhu Plaza, I Floor, No. 47, Whites Road, Royapettah, Chennai 600 014

Tel: +91 44 28510040, 28569900 E-mail: spmsupport@sundaramalternates.com

The investor has to first approach the Portfolio Manager with his/her grievance for the purpose of redressal. In case the investor is not satisfied with the response provided by the Portfolio Manager, he/she may approach SEBI which takes up complaints against the various intermediaries, including Portfolio Managers, registered with it. The complaint has to be filed in SEBI COmplaints REdress System (SCORES) at

<http://scores.gov.in/Default.aspx>

Standard Operating Procedure			
Service request	No. Of Working Days	Grievance/ Complaint Handling	No.Of Working Days
New account opening including documentation i. Individual/HUF ii. NRI iii. Corporate	8 working days* 15 working days* 10 working days*	Non receipt of statement	3 working days
Address change	5 working days with custodian as per Custodian TAT	Mistakes/ errors in statement	5 working days
Change of Bank Mandate	5 working days with custodian as per Custodian TAT		
Email change	5 working days with custodian as per Custodian TAT	Payment not received	3 working days
Online access	3 working days		
Statement of account request	3 working days	SEBI complaints	3 working days
Report request	3 working days	Termination	30 calender days**
Nomination	5 working days with custodian as per Custodian TAT		
Transmission	5 working days		
Partial withdrawal	5 working days		
Capital gains statement	3 working days		
General Enquiries	3 working days		

*Provided all documentations/KYC has been done. **Provided NIL pending corporate actions.