

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.R.Sriranjani, Assistant 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 support@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 Chief Executive Officer
7. All investor complaints should be resolved within time period of 21 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

Sundaram Towers, I Floor, 46, Whites Road, Royapettah, Chennai 600 014

Mobile: +91 7305529179 / +91 7305744425 E-mail: support@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>.

After exhausting all options as mentioned above for resolution, if the client is not satisfied, they can initiate dispute resolution through the Online Dispute Resolution Portal (ODR) at <https://smartodr.in/login>.

Alternatively, the client can directly initiate dispute resolution through the ODR Portal if the grievance lodged with the Portfolio Manager is not satisfactorily resolved or at any stage of the subsequent escalations mentioned above.

The dispute resolution through the ODR Portal can be initiated when the complaint/dispute is not under consideration in SCORES guidelines or not pending before any arbitral process, court, tribunal or consumer forum or are non-arbitrable in terms of Indian law.

The process on Online Dispute Resolution Mechanism is available at <https://www.sundaramalternates.com/Investor-Grievances>.

Standard Operating Procedure			
Service request	No. Of Working Days	Grievance / Complaint Handling	No.Of Working Days
New account opening including documentation and registration of nomination		Non receipt of statement	3 working days
i. Individual/HUF	7 working days*		
ii. NRI	14 working days*		
iii. Corporate	10 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		
Transmission	5 working days		
Capital gains statement	3 working days		
General Enquiries	3 working days		
Redemption	<p>Pay-out using Securities: Within 15 days of receipt of the requisite documentation or 15 days from settlement of the last corporate action (for client's securities/investments), whichever is later.</p> <p>Pay-out using Funds: Within 45 days from receipt of the requisite documentation or 15 days from settlement of the last corporate action (for client's securities/investments), whichever is later.</p> <p>Extension in pay-out timelines in either scenario: Subject to prior intimation to the client.</p>		

*Provided all documentations/KYC has been done.