

### **Proposed facilities for Redressal of Investor Grievance**

**Dezerv Investments Private Limited** (“the **Company**”) seeks to provide its investors a high standard of service. The company is committed to put in place and upgrade on a continuous basis the systems and procedures that will enable effective servicing through the use of technology.

The company has appointed a compliance officer in accordance with (SEBI Portfolio Managers Regulations) 2020 (‘Regulations’), who shall attend and address investor query/concern/grievance at the earliest. The company will ensure that its compliance officer is vested with the necessary authority and independence to handle investor complaints. The compliance officer will immediately identify the grievance and take appropriate steps to eliminate the causes of such grievances to the satisfaction of the investor. Effective grievance management would be an essential element of the company’s services and the compliance officer may adopt the following approach to manage grievance effectively and expeditiously:

1. Quick action – As soon as any grievance comes to the knowledge of the compliance officer, it would be identified and resolved. This will lower the detrimental effects of the grievance.
2. Acknowledging grievance – The compliance officer shall acknowledge the grievance put forward by the investor and look into the complaint impartially and without any bias.
3. Gathering facts – The compliance officer shall gather appropriate and sufficient facts explaining the grievance’s nature. A record of such facts shall be maintained so that these can be used in later stage of grievance redressal.
4. Examining the causes of grievance – The actual cause of grievance would be identified. Accordingly, remedial actions would be taken to prevent repetition of the grievance.
5. Decision making – After identifying the causes of grievance, alternative course of actions would be thought of to manage the grievance. The effect of each course of action on the existing and future management policies and procedure would be analysed and accordingly decision should be taken by the personnel. The personnel would execute the decision quickly.
6. **Review** – After implementing the decision, a follow-up would be there to ensure that the grievance has been resolved completely and adequately.

Grievances/concerns, if any, which may not be resolved/satisfactorily addressed in aforesaid manner shall be redressed through the administrative mechanism by the compliance officer and subject to the Regulations. The compliance officer will endeavour to address such grievance in a reasonable manner and time as prescribed under the Regulations.

If the investor remains dissatisfied with the remedies offered or the stand taken by the compliance officer, the investor and the company shall abide by the following mechanisms: Any dispute unresolved by the above internal grievance redressal mechanism of the company, can be submitted to arbitration under the Arbitration and Conciliation Act, 1996. The company and the investor shall jointly appoint a sole arbitrator mutually acceptable to them. In the event of failure to agree upon a sole arbitrator for a period of 15 days of receipt of notice, the

arbitration shall be before 3 (three) arbitrators, where the company and the investor shall appoint an arbitrator each for themselves and the third arbitrator being the presiding arbitrator appointed by the two arbitrators. The company and the investor will bear the expenses / costs incurred by them in appointing the arbitrator and for the arbitration proceedings. Further, the cost of appointing the presiding arbitrator will be borne equally by both of them. Such arbitration proceedings shall be held at Mumbai and the language of the arbitration shall be English. The courts of Mumbai shall have the exclusive jurisdiction to adjudicate upon the claims of the parties.

Without prejudice to anything stated above, the investor can also register its grievance/ complaint through SCORES ([Sebi COmplaints REdress System](#)), post which the complaint will be either routed to the company or to Securities and Exchange Board of India (as applicable), which may then forward the complaint to the company and the company will suitably address the same. SCORES is available at <http://scores.gov.in>.

The Compliance officer or Directors of Dezerv are severally authorised to amend this Policy for giving effect to any changes / amendments notified by the SEBI.

The Policy can be modified, withdrawn or suspended by Dezerv at its sole discretion without any prior intimation.

## CONTACT DETAILS

**The escalation for Investor complaints/grievances relating to Dezerv is as provided below:**

<b>Level 1</b>	Ms. Meetal Mistry Designation: Compliance Officer Cell: +91 99208 35626 Email ID: <a href="mailto:compliance@dezerv.in">compliance@dezerv.in</a> Address: Office No. 203, 2nd Floor, Bhaveshwar Arcade Annexe, LBS Marg, Opp. Shreyas Cinema, Ghatkopar west, Mumbai 400 086.
<b>Level 2</b>	Mr. Sahil Contractor Designation: Director Cell: +91 98200 40383 Email ID: <a href="mailto:sahil@dezerv.in">sahil@dezerv.in</a> Address: Office No. 203, 2nd Floor, Bhaveshwar Arcade Annexe, LBS Marg, Opp. Shreyas Cinema, Ghatkopar west, Mumbai 400 086.

**Level 3**

The Investor may approach the Securities and Exchange Board of India and file their grievance through “SCORES”, the centralized online system for lodging and tracking complaints.

SCORES facility can be accessed through the following web link  
<https://scores.gov.in/scores/Welcome.html>

Filing complaints on SCORES is- Easy & Quick

- a) Register on SCORES portal
- b) Mandatory details for filing complaints on SCORES are Name, PAN, Address, Mobile number, E-mail ID of the complainant.