

INVESTOR COMPLIANT REDRESSAL MECHANISM

Objectives:

Providing excellent service on a regular and consistent basis is very important for the organisation's sustained growth. Capitalsquare Advisors Private Limited ("CSAPL") believes that quick and effective handling of complaints as well as prompt corrective & preventive actions and processes are essential for providing our services. This policy document is to enable to put in place an effective and suitable mechanism for receiving and addressing complaints from investors with specific emphasis on resolving such complaints fairly and expeditiously.

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.

Definitions:

- **Investors:** shall mean an individual, entity, body corporate or such other person who shall be an investor in securities or would be investing in securities of an entity related to any of the transactions undertaken by CSAPL in its capacity as a Merchant Banker
- **Complaint or grievance:** is "An expression of dissatisfaction made by the Investor related to the services of Capitalsquare Advisors Private Limited and/ or its Client including in respect of the any of the transaction undertaken by CSAPL in its capacity as a Merchant Banker". This however needs to be differentiated from matters like from general feedback, enquiry before the due date.
- **Client/ Customer:** shall mean client/ customer of Capitalsquare Advisors Private Limited
- **Redressal:** can be defined as a process or action resulting in giving solution to the problem faced by an Investor.

Principles of Grievance Redressal:

The guiding principles to our Grievance Redressal policy are as follows:

- (I) **Transparency:** The clients shall be provided with all information regarding the channels they can access to service their requirements and resolve their issues. In addition, the turnaround time for issues to be redressed, including investigation and resolution, shall be communicated transparently and promptly.
- (II) **Accessibility:** The Company shall enable the clients to contact the Compliance officer through email at mb@capitalsquare.in. They can also contact the Compliance officer on our Board line no 022-6684 9999. Clients may also choose to write to us at Investor Complaints, CapitalSquare Advisors Pvt. Ltd. 208, Aarpee Centre, 2nd Floor, CTS 70, MIDC Road no. 11, Andheri East, Mumbai 400093, India.



CAPITAL SQUARE ADVISORS PRIVATE LIMITED

- (III) **Escalation:** In case a client is not satisfied with the resolution provided by our Compliance officer, the complaint will be escalated to Investor Grievance Committee.
- (IV) **Investor Education:** The Company shall endeavor to make continuous efforts to educate investors so as to enable them to make informed choices regarding the solutions offered by us.
- (V) **Review:** Periodic review of client grievances so as to enhance the quality of client servicing that is offered.

On the basis of this approach, the Grievance Redressal Policy of CapitalSquare Advisors Pvt. Ltd. ('CapitalSquare') is as follows:

(A) REGISTRATION OF COMPLAINTS

The Company will enable our client's to register grievances through multiple channels. The various channels available to clients for registering complaints are as follows:

- **Email ID:** Clients can contact our Compliance officer over the phone for redressal of their issues. The email id to lodge complaints is mb@capitalsquare.in. They can also contact the Compliance officer on our Board line no 022-6684 9999.
- **Website:** Clients can lodge their grievances by filling in the "Complaint Form" available on the website of CapitalSquare Advisors Pvt. Ltd. (www.capitalsquare.in).

(B) RESOLUTION OF COMPLAINTS

Responsibility

- Primary responsibility is with the Compliance Officer to resolve the complaint for which he would liaise with the other relevant departments (like Merchant Banking Team, Operations, Accounts, Legal, Compliance 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.

Time for Response General Turn Around Time (TAT) for response to complaint is (from the receipt of the valid complaint in writing):

- Allotment/ Refund related – 10 working days
- Legal notices – 30 working days
- Cases involving third party- 30 working days
- Fraud related – 45 working days
- All other cases- 30 working days
- Scores related- as specified by the regulator from time to time

Note: The above TAT can change depending upon the nature and complexity of complaint.



(C) ESCALATION OF COMPLAINTS:

In case a client is not satisfied with the resolution provided by our Compliance officer, the complaint will be escalated to Investor Grievance Committee. The maximum time to take action against a complaint lodged is 30 days (inclusive of time taken by Compliance officer).

(D) REVIEW MECHANISM

Forums to review client grievances and enhance the quality of client servicing offered:

Investor Grievance Committee: The Company shall constitute Investor Grievance committee. The committee acts as a forum to enable clients meet and interact with key personnel of CapitalSquare with the following objectives:

- Collect client feedback on services provided by the CapitalSquare
- Reduce information gap between clients and CapitalSquare
- But most importantly to build trust amongst clients.

Investor Grievance Committee: The Investor Grievance Committee carries out the following specific functions:

- Evaluate feedback on the quality of client servicing received from various quarters.
- Review comments/feedback from the Compliance officer
- Review each complaint.

(E) CLOSURE OF COMPLAINT

A complaint shall be considered as disposed off and closed when:

- (a) The Company has acceded to the request of the complainant fully.
- (b) Where the complainant has been indicated in writing of the acceptance of the response of the Company.
- (c) Where the complainant has not responded to the Company within 4 weeks of the Company's written response.

