

INVASSET PMS

SEBI: INP000006907

GRIEVANCE REDRESSAL POLICY

INTRODUCTION:

INVASSET launched with a dream to make people fulfill their financial freedom. We are a SEBI registered portfolio management service provider (SEBI: INP000006907) consisting of a specialized research team having decades of professional experience working on an efficient formulated AI

Investor service is a vital element for our sustained business growth and we endeavour that our Investors receive great service from us.

Investor feedback and complaints are key to improve our services. Not each difficult interaction with investor is a complaint. Invasset has established principles and framework handle both queries and grievances.

At INVASSET, we ensure that :

1. Investors are treated fairly
2. Complaints raised by Investors are dealt with courtesy and in a timely manner
3. Investors are provided with information on how to raise their issues and complaints and escalate if they are not satisfied with the resolution or handling.
4. A dedicated Customer Services Team is in place to handle customer queries and complaints. The process is supervised by a senior resource

Grievance Raising Mechanism

1. Investors are entitled to make a complaint in writing, orally or telephonically directly to [INVASSET](#). Investors that are serviced by their independent advisors or distributors can also raise their complaints through their advisors and distributors.
2. Investors can reach [INVASSET](#) through email at: info@invasset.com
3. Investors can call us at toll free : [1800-309-2172](tel:1800-309-2172)
4. Investors can send letters to Invasset at: [INVASSET](#) LLP , 1401 ASPEN 2 CENTRA GREENS, PAKHOWAL ROAD OPP. RIVIERA RESORT, LUDHIANA, PUNJAB, 141001.
5. If Investors are not satisfied with the response from [INVASSET](#), they can lodge their grievances with SEBI at <https://scores.gov.in/scores/Welcome.html> or may also write to any of the offices of SEBI. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575

Internal Grievance Redressal Process

1. The Customer Relations Team receiving the query/complaint is responsible for the resolution of query/complaint. The Senior Manager- Customer Relations at the first level is responsible for ensuring that the query / complaint is resolved to the investor's satisfaction and must attempt to offer the investor alternate solutions, however if the investor remains unsatisfied with the resolution, he can escalate the issue through the grievance redressal mechanism.
2. Queries/Complaints are investigated within the stipulated timelines for handling queries / complaints received at the different levels of escalation. We aim to acknowledge and respond to queries in two working days and aim to resolve any complaints within five to seven working days. Certain types of queries / complaints, involving fraud, legal inputs and third party (distributors, service providers), needing more time for investigation, are acknowledged accordingly and the turnaround time is communicated to the investor.
3. The communication of [INVASSET](#) stand on any issue is important and is done clearly in an investor friendly manner.
4. In case if it required by Regulations for a specific license (like the Investment Adviser's license), [INVASSET](#) will upload on its website the details of complaints on a monthly basis for investors.

Details of SEBI grievance redressal mechanism and how to access it

1. It is mandatory for every PMS provider to register itself on SEBI SCORES (SEBI Complaint Redress System). SCORES is a centralised online complaint resolution system through which the complainant can take up his grievance against the PMS provider and subsequently view its status. (<https://scores.gov.in/scores/Welcome.html>)
2. The details such as the name, address and telephone number of the investor relations officer of the PMS provider who attends to the investor queries and complaint should be provided in the PMS Disclosure document.
3. The grievance redressal and dispute mechanism should be mentioned in the Disclosure Document. Investors can approach SEBI for redressal of their complaints. On receipt of complaints, SEBI takes up the matter with the concerned PMS provider and follows up with them.
4. Investors 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.

Expectations from the investors (Responsibilities of investors)

1. Check registration status of the intermediary from SEBI website before availing services.
2. Submission of KYC documents and application form in a timely manner with signatures in appropriate places and with requisite supporting documents.
3. Read carefully terms and conditions of the agreement before signing the same.
4. Thorough study of the Disclosure Documents of the PMS to accurately understand the risks entailed by the said investment in PMS.
5. Accurate and sincere answers given to the questions asked in the „Client Information sheet which include client risk profiling“ shall help the PMS provider properly assess the risk profile of the investor.
6. Thorough study of the quarterly statements sent by the PMS provider to the investor intimating him about the portfolio's absolute and relative performance, its constituents and its risk profile.
7. Ensure providing complete details of negative list of securities as part of freeze instructions at the time of entering into PMS agreement and every time thereafter for changes, if any, in a timely manner.
8. To update the PMS provider in case of any change in the KYC documents and personal details and to provide the updated KYC along with the required proof.

Complaint Data of [INVASSET LLP](#) in terms of SEBI Circular SEBI/HO/IMD/IMD-II_DOF7/P/CIR/2021/681 dated December 10, 2021

Data for the month ending –February 2022

Sr. No.	Received from	Pending at the end of last month	Received	Resolved*	Total Pending#	Pending complaints > 3months	Average Resolution time^ (in days)
1	Directly from Investors	0	0	0	0	0	NA
2	SEBI (SCORES)	0	0	0	0	0	NA
3	Other Sources (if any)	0	0	0	0	0	NA
	Grand Total	0	0	0	0	0	NA

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

Trend of monthly disposal of complaints

Sr. No.	Month	Carried forward from previous month	Received	Resolved*	Pending#
1	April 2021 to February, 2022	0	0	0	0
	Grand Total	0	0	0	0

*Inclusive of complaints of previous months resolved in the current month. #Inclusive of complaints pending as on the last day of the month.

Trend of annual disposal of complaints

SN	Year	Carried forward from previous year	Received	Resolved**	Pending**
1	2019-20	0	0	0	0
2	2020-21	0	0	0	0
3	2021-22	0	0	0	0
	Grand Total	0	0	0	0

** Inclusive of complaints of previous years resolved in the current year. ## Inclusive of complaints pending as on the last day of the year.

DISCLOSURE

We have made a copy of this policy available <https://invasset.com/en/assets/files/Disclosure.pdf>

The report on voting activity undertaken shall be made available to our investors as required under the applicable regulations.