



## INVESTOR GRIEVANCE REDRESSAL POLICY OF STALLION ASSET PRIVATE LIMITED

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The policy was last amended on 15.09.2023 in compliance to the SEBI Master circular for online dispute resolution dated 31<sup>st</sup> July, 2023.



### **I. TITLE**

This Policy shall be called 'Investor Grievance Redressal Policy'.

### **II. PREAMBLE AND OBJECTIVE**

- a. This Policy is formulated to provide the best of our services to our investors and Distributors. We provide easy access to information on our products and services; we also help you get your grievances redressed with ease.
- b. At stallion, Customers are treated fairly at all times.
- c. We endeavour to resolve client's complaint on a priority basis with utmost transparency.
- d. Resolving your problem helps us review our processes and take necessary steps to prevent recurrence.

### **III. GRIEVANCE REDRESSAL MECHANISM**

The various channels available to Investors for registering the complaints are as follows:

- a) Investors can contact us through our website: Link <https://www.stallionasset.com>
- b) Investors can log their complaint by sending an mail to [support@stallionasset.com](mailto:support@stallionasset.com)
- c) Grievance Redressal Officer: Investors can contact the Grievance Redressal Officer for redressal of issues.  
Grievance Redressal Officer: Behzad Kalantary  
Contact No.: +91-9004025290 / 022- 6868 0250  
Email: [info@stallionasset.com](mailto:info@stallionasset.com)

We shall endeavour to redress the Investor complaint(s) within 21 (twenty-one) calendar days from the date of the receipt of the complaint by us.

#### **ESCALATION OF COMPLAINTS:**

If an investor is not satisfied with the resolution provided through various channels or the method of handling complaint; the investor can escalate the issues to **SEBI Complaints Redress System (SCORES)**.

Investors can lodge their grievances / complaints through the SCORES link given below. Investors can also lodge grievances / complaints in physical form at any of the offices of SEBI. Such grievances complaints would be scanned and uploaded in SCORES for processing. Link: <https://www.scores.gov.in/scores/complaintRegister.html>

If the investor is not satisfied with the extent of redressal of grievance by Stallion, there is a one-time option for 'review' of the redressal, which can be exercised within 15 days from the date of closure of the complaint on SCORES. Thereafter, the complaint shall be escalated to the supervising official of the dealing officer of SEBI.



After exhausting all aforementioned options 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 circular on Online Dispute Resolution Mechanism is available at

#### **IV. RESOLUTION OF COMPLAINTS**

##### **Responsibility**

- Primary responsibility is with the Grievance Officer to resolve the complaint for which he would liaise with the other relevant departments (like, Operations, Accounts, Compliance, Research, Sales etc).
- If the issue cannot be resolved by the Grievance Officer, the same will be escalated to the Compliance Officer.
- If the issue cannot be resolved by the Compliance Officer, the same will be escalated to the Principal Officer.

#### **V. DISPLAY OF COMPLAINTS DATA**

The details of the complaints including SCORES complaints related to PMS shall be disclosed on the website on monthly basis by 7th of the succeeding month in the format provided in Annexure A or such other format as may be prescribed by SEBI from time to time.

#### **VI. MAINTENANCE OF RECORDS:**

The Register of complaint and Grievance shall be maintained and updated with details of complaints and its resolution thereof with time take for resolution.

The soft copies / hard copies of the complaints received from the Investor shall be preserved. The Register of complaint and grievance will be maintained for such period as prescribed by regulatory authority from time to time.

#### **VII. REVIEW OF POLICY:**

The Board of directors of the Company shall review the Customer Grievance Redressal Mechanism on a quarterly basis to ensure that process deficiencies, if any, are addressed. The Board shall also quarterly review the Statement of Complaints received, resolved and pending, along with reasons for the same.

Note: Only complaints sent on email ids mentioned in this Policy will be treated as valid complaints.

We have made a copy of this policy available at <https://www.stallionasset.com>.

The policy was approved by board of directors on 05<sup>th</sup> September, 2018.