

Stallion Asset Private Limited

INVESTOR GRIEVANCE REDRESSAL POLICY

OF

STALLION ASSET PRIVATE LIMITED

Version	Approval Date	Created/Reviewed by	Approved by
V1	05 th September, 2018	Compliance team	Board of Directors
V2	16 th September, 2023	Compliance team	Board of Directors
V3	01 st April, 2024	Compliance team	Board of Directors
V4	21 st June 2024	Compliance team	Board of Directors

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I. TITLE

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

II. INTRODUCTION

Stallion Asset Private Limited is registered with SEBI as Portfolio Manager with registration no. INP000006129. This Policy outlines the grievance handling process through a structured grievance redressal framework.

III. PREAMBLE AND OBJECTIVE

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

IV. GRIEVANCE REDRESSAL MECHANISM

a) Modes of Receiving Complaints

Clients can register their complaints at below mentioned contact details:

Grievance Redressal Officer: Behzad Kalantary

Contact No.: +91- 9326771445 / +91-9920071205

Email: support@stallionasset.com

b) Timeline for Resolution

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.

V. RESOLUTION OF COMPLAINTS

- Initial 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.

The Company has appointed a Compliance Officer who is responsible for monitoring compliance with applicable laws and regulations and overseeing the redressal of investor grievances.

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VI. ESCALATION OF COMPLAINTS:

If an investor is not satisfied with the resolution provided through various channels or the method of handling complaints; the investor can escalate the issues to **SEBI**

Complaints Redress System (SCORES).

1. Investors can lodge their grievances / complaints through the SCORES link. <https://scores.sebi.gov.in/scores-home> or may also write to any of the offices of SEBI or contact SEBI Office on Toll Free Helpline at 1800 266 7575 / 1800 22 7575. The complaint shall be lodged on SCORES within one year from the date of cause of action, where the complainant has approached us, for redressal of the complaint and We have rejected the complaint or, The complainant has not received any communication from us or, The complainant is not satisfied with the reply received or the redressal action taken by us.
2. 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.

SCORES may be accessed through SCORES mobile application as well, same can be downloaded from below link:

<https://play.google.com/store/apps/details?id=com.sebi&pli=1>

<https://apps.apple.com/in/app/sebiscores/id6478849917>

3. We shall submit an Action Taken Report ("ATR") on SCORES within 21 Calendar days. If Client is not satisfied with the Redressal or no ATR has been filed within above mentioned days by us, then the client can opt for 1st review within 15 days. Thereafter, the complaint shall be escalated to the Designated body. SEBI has appointed Association of Portfolio manager in India (APMI) as Designated body for Portfolio Manager.
4. The Designated Body shall seek clarification from us or the client, as required. Once the designated body has received the clarification then they shall upload the revised ATR on SCORES within 10 days.
5. If the client is not satisfied with the 1st review or ATR is not uploaded by the designated body in 10 days, then the client can opt for 2nd review within 15 days. Thereafter, the complaint shall be escalated to supervising official of the dealing officer of SEBI and he shall seek clarifications from us or the client for the same. If satisfied, SEBI shall dispose the complaint with reasonable closure remarks

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6. After exhausting all the 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.

SCORES 2.0 auto-routes complaints to compliance officer, with real-time monitoring by designated bodies to ensure compliance with the 21-day timeline. The platform's KYC integration simplifies investor registration, and its user-friendly interface (web and upcoming mobile app) enhances accessibility.

VII.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 7A SEBI Master Circular SEBI/HO/IMD/IMD-POD-1/P/CIR/2024/80 dated June 07, 2024 for Portfolio Managers or such other format as may be prescribed by SEBI from time to time.

We shall submit the Action Taken Report ("ATR") on SCORES within 21 calendar days from the date of receipt of the complaint as directed in circular SEBI/HO/OIAE/IGRD/CIR/P/2023/156 dated September 20, 2023.

VIII.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 same shall be maintained for a minimum of 5 years, as required by SEBI regulations.

A quarterly report of grievances and their redressal shall be placed before the senior management and the Board of Directors.

IX.REVIEW OF POLICY:

The Board shall quarterly review the statement of complaints received, resolved and pending, along with reasons for the same.

The copy of this policy shall be made available at <https://www.stallionasset.com>.

The policy shall be reviewed annually and/or on need basis.