

Edelweiss Alternative Asset Advisors Limited

Investor Grievances Redressal Policy

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Policy Owner	Investor Servicing & Compliance

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INVESTORS GRIEVANCES REDRESSAL POLICY

Title

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

Preamble

Edelweiss Alternative Asset Advisors Limited ("**EAAA**") acts as the Investment Manager ("**IM**") for various Alternatives Investment Funds and /or their schemes (hereinafter singly referred to as the "**AIF**" and collectively as the "**AIFs**"). These AIFs are governed by the SEBI AIF Regulations as well as their respective Fund Documents (i.e. Private Placement Memorandum, Indenture of Trust, Contribution Agreement and Investment Management Agreement). These AIFs raise funds from the investors (hereinafter referred to as the "**Investor(s)**" or "**Customers**" or "**Client(s)**") in various segments including institutions, corporates, business houses, family offices and high networth individuals ("**HNIs**"). As per the SEBI Regulations and the Fund Documents, EAAA as the IM to these AIFs, is primarily responsible for client servicing including maintaining the account of their beneficial holding, making periodic reports and providing clarifications from time to time. EAAA as the IM of AIFs also appoints one or more agencies as the Registrar to the AIF ("**R & T**") or **Fund Accountants**, which shall be responsible for client servicing along with EAAA.

Philosophy

Being part of the Edelweiss Group, EAAA believes that providing prompt and efficient service to the client is essential not only to attract new investors, but also to retain the existing ones. This policy aims at minimizing the instances of Investor complaints/grievances through a framework of proper service delivery and review mechanism as well as to ensure prompt redressal of investor complaints/grievances. The review mechanism is particularly important as it will help in identifying shortcomings in product features and service delivery to make further improvements.

Objective

1. This Policy is formulated to provide efficient services to the investors and to effectively address and redress the grievances of the investors of Edelweiss Alternative Asset Advisors Limited ("**EAAA**") in a timely manner.
2. The coverage of this policy is to redress the grievance of all the AIF investors of Edelweiss

Alternative Asset Advisors Limited (“EAAA”).

3. Edelweiss Alternative Asset Advisors Limited (“EAAA”) has appointed M/s. Computer Age Management Services Limited and M/s. KFIN Technologies Private Limited as its Registrar & Transfer Agents (“RTA”) to ensure faster and efficient provision of services to the investors. The RTA is primarily responsible for handling the investor related affairs of Edelweiss Alternative Asset Advisors Limited (“EAAA”).

Guiding Principles

EAAA policy on Grievance Redressal is based on the under noted guiding principles:

- The Investors will always be treated fairly;
- Complaints raised by any Investors will be dealt in timely manner and with due courtesy;
- Investors will be fully informed of avenues to escalate their complaints/grievances within the organization / R & T/Fund Accountant;
- EAAA and/or R & T or Fund Accountant will deal with all complaints efficiently and fairly being deeply cognizant of the fact that the smallest of complaints can damage the institution’s reputation and standing, if not attended properly; and
- All the employees of EAAA / R & T or Fund Accountant will work in good faith and without prejudice to the interests of the Investor(s).

Investor Service Timelines and General Guiding Principles

All investor communication or grievances in relation to investor matters shall be addressed by EAAA and/or RTA as the case may be, within 2 working days from the date of receipt of such grievance or communication. (Depending on the nature of the query/complaint, few responses may take more time – EAAA/RTA will accordingly keep the recipient informed)

In case EAAA and/or RTA requires any additional information or supporting document to address such grievance or communication, the return communication stating details of desired information or document should be released within respective Turnaround Time. After receipt of requested information or document, the RTA should address such grievance or communication within respective Turnaround Time.

Multiple correspondence / communications or reminders received for the same matter within the stipulated turnaround time in this Policy for handling of the query / communication will be treated as one complaint.

If a query is resolved after the stipulated turnaround time and there is no reminder from the investor during such timeperiod, such query will not be treated as complaint.

Redressal Mechanism

In order to make redressal mechanism more meaningful and effective, a structured system will function at EAAA, which will ensure that redressal sought is just and fair and done in a timely manner.

The Internal Mechanism to be followed by EAAA to handle Investor complaints/grievances will be as follows:

- a. EAAA will make known to the Investors all relevant mediums to raise an issue:
 - o Where to make the complaint
 - o When to expect a reply
 - o Whom to approach for redressal
- b. The offer document of each of the AIFs shall contain the contact details of the person to seek clarifications. The contact details will also be intimated to the Investors from time to time, along with the other periodic communication(s) to the Investors.
- c. The Investor shall have the flexibility to raise the issue(s) via any of the possible mode i.e. personal discussion, phone, email or written letters.
- d. The Investors can raise their complaints either directly to EAAA or to RTA by giving details of their name, folio no., name of the fund invested in, nature and full particulars of their complaint
- e. EAAA has a dedicated Investor Servicing Team who is responsible for timely and prompt communication with Investors and distributors

Investors can write to EAAA for any queries / complaint / clarifications that they may have. (please refer to the annexure for contact details of EAAA and RTA)

- f. After examining the matter, EAAA / R & T will endeavor to send the response as early as possible but in any event, not later than 30 days from receipt of the complaint. Provided that in case the resolution is expected to take longer time period, then an intermediate response shall be made to the Investor intimating the expected timeline of the resolution.
- g. All grievance resolutions shall be undertaken as per the AIF regulations and within the framework of the Fund documents of the respective AIFs.

REDRESSAL MECHANISM THROUGH SEBI SCORES

The investor may approach the Securities and Exchange Board of India (SEBI) and file their grievance through "SCORES", the centralized online system for lodging and tracking complaints.

SCORES facility can be accessed through the web link <http://scores.gov.in>.

Filing complaints on SCORES - 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.

EAAA suggests to follow grievance redressal through the fund house before opting to raise grievance / complaint directly with SEBI through SCORES.

Functional responsibility & updates

- a. Resolution of a customer complaint will be a collective responsibility of all the teams including investor servicing , investment, operations, product, marketing, compliance and legal based on the nature of the complaints and inputs required for closure. The Investor Servicing team shall act as the interface to handle all the client requests/complaints and shall undertake the closure of a complaints subject to other teams providing necessary information/inputs by the other teams.
- b. The complaints raised with SEBI or with any other regulator shall be dealt under the supervisions of the Compliance Team.
- c. Complaints turned into dispute /litigation shall be handled by the Legal team.
- d. EAAA shall designate a Grievances Redressal Officer, who shall be responsible to handle the overall client servicing function and his/her contact details will be informed to the Investors, from time to time.
- e. A report summarizing the (a) number of complaints; (b) Nature of complaints; (c) time taken for resolution; (d) delay in response, if any; (e) complaints pending beyond 30 days (with reasons) (f) complaints turned in to litigation /dispute shall be prepared by the marketing /customer relations team to the Business Head and the Compliance Officer of EAAA. This shall be placed on a quarterly basis in compliance and governance meeting.

Amendment /waiver / exceptions

This policy shall be reviewed periodically and the requisite updates, if any shall be made. Any deviation/waiver /exception to the provisions of this policy shall be made only after discussion with Compliance and with the approval of the Business Head of EAAA.

ANNEXURE – Contact Details

Contact Details of Edelweiss Alternative Asset Advisors Ltd (EAAA)

Edelweiss Alternative Asset Advisors Ltd (EAAA)

Edelweiss House, 3rd Floor, Off CST Road, Kalina, Mumbai-400098

Phone No: +91 (22) 4009 4400 (this has been taken from the website)

Email id for sending all queries and complaints eaaa.customerservice@edelweissalts.com

Website - <https://www.edelweissalternatives.com/>

Contact Details of RTA

KFIN Technologies Private Limited - Karvy Selenium Tower B, Plot No.: 31 & 32, Gachibowli, Financial District, Nanakramguda, Serilingampally, Hyderabad – 500 032, Telangana

Computer Age Management Services Limited (CAMS) - No. 158, Rayala Towers, Tower - I, I MEZ Floor, Anna Salai, Chennai – 600002

Phone No: 044 61092347

Please find below list of email id fund wise with respective RTAs

Sr. No	Domestic Funds List	RTA Name	Email id
1	ECOF	CAMS	ecof@camsonline.com
2	EIYP	CAMS	yieldplus@camsonline.com
3	REOF 10	CAMS	enq_03@camsonline.com
4	ECAF	CAMS	enq_03@camsonline.com
5	EREF Onshore Fund	CAMS	eref@camsonline.com
6	ECPF	CAMS	ecpf@camsonline.com
7	EISAF II Onshore Fund	CAMS	eisafiiionshore@camsonline.com
8	ESTAR	CAMS	enq_estar@camsonline.com
9	IYP-II	CAMS	iypii@camsonline.com
10	IYP-II A	CAMS	iypiia@camsonline.com
11	ISAF-III Onshore Fund	CAMS	isafiiiionshore@camsonline.com
12	Rental Yeild	Kfintech	EAAA.AIF@kfintech.com
13	EROF Onshore Fund	Kfintech	erof@kfintech.com
14	RECOF I	Kfintech	recof1@kfintech.com
15	RECOF II	Kfintech	recof2@kfintech.com
16	RECOF III	Kfintech	recof3@kfintech.com