



# Allegiance Finmavens Pvt. Ltd.

## COMPLAINT REDRESSAL POLICY

### 1. RATIONALE

SEBI and AMFI requires Allegiance Finmavens Pvt. Ltd. ('AFPL') to have in place a proper complaint redressal system.

Due to the above requirements, AFPL requires complaint resolution to be managed and addressed by Customer Servicing function ('CS team').

### 2. DEFINITIONS

**2.1 Complaint** – Any written statement (including hand written/electronic/email) made by a customer, or any person acting on behalf of a customer (where proper authorization has been given), alleging a grievance involving the activities of persons associated with AFPL in connection with solicitation or execution of any transaction in relation to performing the function of Mutual Fund Distributor (MFD).

**2.2 Customer Issue** – Any verbal or written concern made by a customer or any person acting on behalf of a customer expressing a concern involving the activities of persons associated with AFPL concerning MFD business.

### 3. POLICY

All customer communications documents shall contain the details of complaint redressal channels viz. dedicated telephone line, email id, correspondence address etc.

The various channels available to customers for redressal of issues are as follows:

- (i) **Customer Care:** Customers can contact our Service Relationship Managers, Relationship Manager or Customer Care Executive through phone at +129 4070777, mail at [clientservice@allegiancefinancial.in](mailto:clientservice@allegiancefinancial.in), mobile or Whatsapp at +91 9999480599 for redressal of issues.
- (ii) **E-mail:** Customers can e-mail their issues to [clientservice@allegiancefinancial.in](mailto:clientservice@allegiancefinancial.in)

*Any matter not specifically covered under the above policy shall be referred to the Compliance Head for necessary advice. The interpretation of this policy rests exclusively with the Company. The decision of the Company shall be final and binding. "The Company reserves the right to continue/modify/suspend this policy at any time".*

(iii) **Customers may send a letter to:**

Ms. Shikha Sehgal  
Director & Compliance Officer  
Allegiance Finmavens Pvt. Ltd.  
4417, Achievers, Kalindi Hill,  
Sector 49, Faridabad, Haryana-121001  
[clientservice@allegiancefinancial.in](mailto:clientservice@allegiancefinancial.in)

(iv) **Escalation:** If a Customers who are dissatisfied with the services provided to them can contact the [ceo@allegiancefinancial.in](mailto:ceo@allegiancefinancial.in)

If the customer's issue is not resolved even after contacting various complaint resolution channels, he/she can directly write to the Principal Officer at below address:

**Managing Director**

**Allegiance Finmavens Pvt. Ltd.**

Allegiance Finmavens Pvt. Ltd.  
4417, Achievers, Kalindi Hill,  
Sector 49, Faridabad, Haryana-121001  
[Ajay.sehgal@allegiancefinancial.in](mailto:Ajay.sehgal@allegiancefinancial.in)

(v) **Escalation to SEBI** – In case customer's issue is still not resolved, he/she can lodge their complaint at SEBI's online dispute management portal SCORE. The link for the same is <https://scores.sebi.gov.in/>

- If a customer submits a Complaint in writing, submit the original to the CS team.
- If a customer or any person acting on behalf of a customer, verbally expresses a Customer Issue to any Relationship Manager or staff, the Relationship Manager must document the Customer Issue and any request for resolution and forward it promptly to the CS team.

Relationship Manager must not make any settlement with a customer at its own.

Relationship Manager and staff are not allowed to write a complaint letter for a customer. If an Relationship Manager believes his or her customer has a grievance, the Relationship Manager should report the matter to CS team for review. Relationship Manager should not encourage the customer to file a written complaint about another Relationship Manager, but the Relationship Manager should contact his/her Reporting Manager in situations involving potential complaints against another Relationship Manager.

Once a Complaint or Customer Issue has been initiated by a customer, or a person on behalf of a customer, the Relationship Manager must not contact the customer regarding the issue or allegations raised in the complaint or customer Issue.

Relationship Manager must cooperate with the CS team and the Operations department to resolve all

*Any matter not specifically covered under the above policy shall be referred to the Compliance Head for necessary advice. The interpretation of this policy rests exclusively with the Company. The decision of the Company shall be final and binding. "The Company reserves the right to continue/modify/suspend this policy at any time".*

Complaints and Customer Issues. Failure to cooperate, or respond, to a CS team or the Operations department is considered grounds for disciplinary action, up to and including termination.

#### 4. RELATIONSHIP MANAGER PROCEDURES

- If a Customer Issue is received, document the concerns and any request for resolution.
- Immediately forward all Complaints or Customer Issues to the CS team.
- Maintain copies in customer files.
- Cooperate with the CS team and the Operations department.
- If requested, and as directed by the Operations department, provide a written statement related to the Complaint. If a written statement is requested, provide only the facts. Do not speculate, or provide personal opinion, or state conclusions based on the facts. Remember, any written statement could be requested, obtained and reviewed by a Compliance Officer if the matter is litigated or by a regulator.
- Provide other documentation as requested.
- If you receive a notice of a lawsuit or arbitration, immediately forward it to the Compliance department.

Relationship Manager should direct their questions to their CS team. The CS team will inform the Relationship Manager of the status of the Complaint or Customer Issue and all the details regarding the resolution, including the disposition, cost allocation, and disciplinary action, if any.

#### The turn-around-time for the responding to a complaint

- (i) Normal cases (other than one mentioned below): 10 working days
- (ii) Fraud cases, Legal cases and cases which need retrieval of documents and exceptionally old records: 15 working days
- (iii) If any case needs additional time, CS team will inform the customer why the resolution is being delayed and provide expected time lines for the resolution of the issue.

If any case requires legal or compliance suggestions/assistance, the said function will be communicated accordingly.

#### 5. DISPLAY

A notice shall be displayed at every office of AFPL and website to which the public have access that a copy of the Policy will be available upon request.

*Any matter not specifically covered under the above policy shall be referred to the Compliance Head for necessary advice. The interpretation of this policy rests exclusively with the Company. The decision of the Company shall be final and binding. "The Company reserves the right to continue/modify/suspend this policy at any time".*