

PRADEEP MAHTANI

INVESTMENT ADVISER

SEBI Registration Number INA000010742 (Perpetual registration)/BASL Membership No: 1158

Client Grievance Redressal Policy

Client's queries/complaints may arise due to lack of understanding or a deficiency of service experienced by clients. Deficiency of service may include lack of explanation, clarifications, understanding which escalates into shortfalls in the expected delivery standards, either due to inadequacy of facilities available or through the attitude of staff towards client.

Registration of Complaints

A client shall first take up his/her/their grievance with the Market Participant (Pradeep Mahtani) by lodging a complaint directly with the concerned Market Participant. If the grievance is not redressed satisfactorily, the client may, in accordance with the SCORES guidelines, escalate the same through the SCORES Portal in accordance with the process laid out therein. After exhausting these options for resolution of the grievance, if the client is still not satisfied with the outcome, he/she/they can initiate dispute resolution through the ODR Portal.

The various channels available to Clients for registering grievances/complaints are as follows:

- E-Mail: Clients can log their complaint or escalate the Client grievance to email id Connect@pgmacorn.com
- Phone numbers of the Adviser (WhatsApp): +91 7506365310

Resolution of Complaints: All complaints received shall be recorded internally including how the same has been resolved, time for Response, general Turn Around Time (TAT) for response to complaint is (from the receipt of the valid complaint in writing/email) and not more than as follows

- Investment Advisory related – 2 weeks from date of complaint
- Legal notices – 30 working days
- Cases involving third party – 30 working days
- Fraud related – 45 working days
- All other cases – 30 working days
- Scores related – as specified by the regulator from time to time Note: The above TAT can change depending upon the nature and complexity of complaint

Escalation of Complaints

Step 1: SCORES

SEBI Complaints Redress System (SCORES) - SEBI maintains SCORES which is a web based centralized grievance redressal system of SEBI. Investors can lodge their grievances / complaints through the SCORES link available on the SEBI website. SCORES enables investors to lodge and follow up their complaints and track the status of redressal of such complaints online from the above website from anywhere. 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.

In case, investor is not satisfied with my response, he /she can lodge his / her grievances with SEBI at website for SEBI Complaints Redress System (SCORES) <http://scores.gov.in> or he / she 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. Investor may also note the following SEBI regional / local office address:

SEBI Office Add: Plot no C 4A. G Block, Near Bank of India, BKC, Mumbai 400051

The complaint shall be lodged on SCORES within one (1) year from the date of cause of action, where:

- The complainant has approached Pradeep Mahtani, for redressal of the complaint and Pradeep Mahtani has rejected the complaint OR,
- The complainant has not received any communication from Pradeep Mahtani OR,
- The complainant is not satisfied with the reply received or the redressal action taken by Pradeep Mahtani. If the Investor is not satisfied with the extent of redressal of grievance by Pradeep Mahtani, there is a one-time option for 'review' of the extent of the redressal, which can be exercised within 15 (fifteen days from the date of closure of the complaint on SCORES.

Step 2: ODR Portal

After exhausting these options for resolution of the grievance, if the Investor is still not satisfied with the outcome, he/she/ they can initiate dispute resolution through the ODR Portal at <https://smartodr.in/login>. The investor(s) can also directly initiate dispute resolution through the ODR Portal if the grievance lodged with Pradeep Mahtani is not satisfactorily resolved at any stage of the subsequent escalations mentioned above. Further, the dispute resolution through the ODR Portal can be initiated when the complaint/ dispute is not under consideration

- In terms of the paragraph steps given above

- Not pending before any arbitral process, court, tribunal or consumer forum or are non-arbitrable in terms of Indian law (including when moratorium under the Insolvency and Bankruptcy Code is in operation due to the insolvency process or if liquidation or winding up process has been commenced against the Market Participant).

Alternatively, the Investor can directly initiate dispute resolution through the ODR Portal, if the grievance lodged with Pradeep Mahtani is not satisfactorily resolved or at any stage of the subsequent escalations mentioned above.

The link to the SEBI Master Circular and the ODR portal is available on our website.

Standard warning: Investment in securities market are subject to market risks. Read all the related documents carefully before investing.

Disclaimer: Registration granted by SEBI, membership of BASL and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors.

Address: 8 Hampton Court, 4th Floor, A Wing; Wodehouse Road; Colaba, Mumbai 400005.

Mobile: +91 7506365310 Email: connect@pgmacorn.com

SEBI Address: SEBI Bhavan BKC; Plot No: C4-A, 'G' Block, Bandra-Kurla Complex; Bandra (E), Mumbai 400051.
(www.sebi.gov.in)