

**AMBIT INVESTMENT ADVISORS PRIVATE LIMITED**

**INVESTOR GRIEVANCE REDRESSAL POLICY**



**AMBIT INVESTMENT ADVISORS PVT. LTD.  
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**Document Control**

<b>Item</b>	<b>Description</b>
Document Title	Investor Grievance Redressal Policy
Document Owner	Legal & Compliance Team
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**Document Approval / Revision History**

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1.0	Legal & Compliance Team	Initial Draft	01/09/2025
1.0	Board of Directors	Approved	18/09/2025

**1. INTRODUCTION**

- 1.1. Ambit Investment Advisors Trust (“Fund”) is registered with SEBI as a Category III Open ended Fund with effect from July 02, 2025. “Ambit Pricing Prowess Fund” is the “scheme” of the Trust.
- 1.2. **Investment Manager:** Ambit Investment Advisors Private Limited (“Investment Manager”) will act as investment manager to the Trust and all its Schemes, including the Fund. The Investment Manager has entered into an Investment Management Agreement with the Trustee in terms of which it will manage and administer the investment activity of the Trust and the Fund in accordance with the powers delegated by the Trustee and in accordance with the Applicable Laws. The Investment Manager will be responsible for the investment program of the Fund.
- 1.3. **Trustees:** IDBI Trusteeship Services Limited acts as a Trustee to the Fund.

This Policy shall be applicable to all the schemes of the fund which may be launched in the future and further funds and its schemes.

The policy framed hereunder and any amendments made by SEBI to the above Circular/s from time to time shall be applicable to the Directors, Employees or temporary staff or voluntary workers or such other person/s as may be specified from time to time (hereinafter collectively referred as “person”) associated with the Fund and employees of the Investment Manager.

**2. Objective of the policy:**

The policy document aims to strengthen the mechanism of ensuring prompt redressal of Investor’s grievances at Ambit Investment Advisors Private Limited.

**3. Principles of the policy:**

The policy on grievance redressal follows the under noted principles:

- Investors to be treated fairly at all times.
- Complaints raised by Investors are dealt with in the timelines.
- All complaints from Investors to be treated efficiently and fairly.
- Employees must work in good faith and without prejudice to the interests of the Investor.
- Structuring a meaningful and effective mechanism for redressal of complaints. To ensure that the redressal is just and fair and complaint is redressed within the given frame-work of rules and regulation.

**4. Internal mechanism to handle complaints/ grievances:**

The Compliance Officer or the Investor Relation Officer of the Company shall be the designated person(s) to whom all the complaints can be addressed. The details are given below:

**Compliance Officer Details:**

Name of the person: Ms. Meghana Kashte  
Designation: Compliance Officer  
Address: Ambit House, 449, Senapati Bapat Marg, Lower Parel, Mumbai – 400013  
Telephone: +9102268601729  
Email: investorgrievance.aiapl@ambit.co

**Investor Relation Officer Details:**

Name of the person: Ms. Valentina Dsouza  
Designation: Senior Manager, Service  
Address: Ambit House, 449, Senapati Bapat Marg, Lower Parel, Mumbai – 400013  
Telephone: +912266233187  
Email: [amservice@ambit.co](mailto:amservice@ambit.co)

Grievances that may arise pursuant to the agreement entered into shall as far as possible be redressed through the administrative mechanism by the Investment Manager and the same shall be subject to SEBI (Alternative Investment Fund) Regulations, 2012, issued by SEBI and as amended thereto from time to time.

The complaints can be of three types:

- a) Received from any Regulatory Authority (SEBI/Court/Police/Any other competent authority) either by an email or letter or other mode of communication,
  - b) Received from the Investor or Investor's representative on [investorgrievance.aiapl@ambit.co](mailto:investorgrievance.aiapl@ambit.co).
  - c) Received from Investor directly on SCORES portal.
- a. complaints received directly by the concerned RM/client service team on their email

Any complaint received directly by the RM/Business team /Business Partner, shall be brought to the notice of the Compliance Officer and or the Investor Relation Officer immediately. The RMs are primarily responsible for the resolution of complaints/grievances in respect of Investor's serviced by them. It is their foremost duty to ensure that the complaint is resolved completely to the satisfaction of the Investor and to also ensure closure of all complaints received within 21 days from its receipt, subject to all the information required by the portfolio manager to redress the complaint is provided by the complainant. The RM may take assistance of the compliance officer to draft appropriate response to the reasonable satisfaction of the Client. If the RM feels that the resolution of the complaint is not possible at his level then they must refer the case to the Fund Manager/Chief Executive Officer for guidance. In any case, an appropriate response shall be sent to the client within 21 days of receipt of the said complaint.

- b. clients may forward their concerns on [investorgrievance.aiapl@ambit.co](mailto:investorgrievance.aiapl@ambit.co)

The access to the aforesaid email id is with the Compliance Officer. The compliance officer shall segregate the complaints received based on the nature of complaint and forward it to respective Relationship Manager (RM)/ Head of Department (HOD) / Service Manager/ Client Servicing team. The Compliance officer shall seek required information and after analyzing the case provide an appropriate response to the client. The process relation to the escalation shall remain same as provided in point (a) above. In any case, an appropriate response shall be sent to the client within 21 days of receipt of the said complaint.

- c. clients directly register the complaints on SCORES portal

The Investor can also register its grievance/complaint through SCORES portal (SEBI Complaints Redress System), post which SEBI may forward the complaint to the Company and the Company will suitably address the same. The access to the SCORES portal lies with the compliance officer. The compliance officer shall endeavor to check SCORES portal on a regular basis. The compliance officer shall follow similar process as mentioned in point (b) above for resolution of the complaint at internal level. Any further escalation of the complaint on SCORES portal shall be in accordance with the various circular and guidelines issued by SEBI from time to time.

In case of Complaints received from any Regulator, the Compliance Officer and/or Investor Relation Officer may approach CEO for guidance, as may be required, and respond accordingly.

In all cases it should ensure that the complaint is resolved or an appropriate response is sent to client within a period of 21 days from the receipt of the complaint, subject to all the information required by the investment manager to redress the complaint is provided by the complainant. In case any additional information is required from the complainant, it should be sought within 15 days from the receipt of the complaint. In such cases the period of 21 days will be calculated from the day when the additional information is received. It will be duty of all the concerned officials to adhere to this time limit.

**SEBI Online Dispute Resolution mechanism:** Further, the Investor may also initiate the dispute resolution mechanism in accordance with the framework notified by SEBI vide its circular no. SEBI/HO/OIAE/OIAE\_IAD-1/P/CIR/2023/145 dated July 31, 2023 (and any amendment or clarificatory circulars that may be issued by SEBI from time to time) ("SEBI ODR Circular") for Online Resolution of Disputes in the Indian Securities Market.

**Closure of complaint:** Whenever the reply is sent to Investor and Investor does not revert back in 30 days' time from the date of reply, AIAPL shall treat the final reply date as closure date of the complaint. If the Investor reverts back after 30 days from the date of final reply then the said complaint is treated as new complaint.

If Investor raises another complaint having different issue anytime then the complaint is treated as a new complaint.

**5. Website Disclosures:**

Designated Email Id for Investor Grievances: [investorgrievance.aiapl@ambit.co](mailto:investorgrievance.aiapl@ambit.co)

The above details will be displayed on the website of the Company and the account opening kit. Any change in above address will be notified on the website of the Company.

Quarterly Investor Grievances Summary shall be displayed on the website of the Company.

**6. Exceptions:**

It is not necessary that all the emails received in the designated email ID will be treated as Investor Compliant/Grievance. The emails could also be queries which can be determined by the Compliance Officer of the Company. These queries will be exempted from the purview of this policy.

**7. Review of the policy:**

The Company shall review and / or amend its Policy as and whenever it deems appropriate and in accordance with any amendments issued by the regulator from time to time, subject to approval of Board of Directors of the Company.

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