



AMBIT INVESTMENT ADVISORS PRIVATE LIMITED INVESTOR GRIEVANCE REDRESSAL POLICY

Version: 5

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Document Control

Item	Description
Document Title	Investor Grievance Redressal Policy
Document Owner	Compliance and Legal
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Document Approval / Revision History

Version	Name	Review/Approval	Date
1.0	Board	Formulated	May 28, 2014
2.0	Board	Reviewed & Approved	August 27, 2020
3.0	Board	Reviewed & Approved	September 15, 2023
4.0	Board	Annual review	May 30, 2024
5.0	Board	Annual review	March 16, 2026

I. Introduction:

Ambit Investment Advisors Private Limited (hereinafter “the Company”) is registered as a Portfolio Manager with Securities & Exchange Board of India (SEBI) and provides portfolio management services to its clients. The Company is also an Investment Manager to Ambit Investment Advisors Trust – Category III which is registered with SEBI as an Alternative Investment Fund under SEBI Alternative Investment Fund Regulations, 2012 vide registration no. IN/AIF/25-26/1833.

II. Objective of the policy :

The policy document aims to strengthen the mechanism of ensuring prompt redressal of Customer’s grievances at Ambit Investment Advisors Private Limited (“AIA / the Company”).

III. Principles of the policy:

The policy on grievance redressal follows the under noted principles:

- Customers / Investors to be treated fairly at all times.
- Complaints raised by Customers / Investors are dealt on time.
- All complaints from Customers / Investors to be treated efficiently and fairly.
- Employees must work in good faith and without prejudice to the interests of the Customer / 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.

IV. Process 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:

Investor Relation Officer:

Name of the person : Mr. Siddhartha Rastogi

Designation : Principal Officer

Address : Ambit House, 449, Senapati Bapat Marg, Lower Parel, Mumbai

Telephone : 022 66233258

Email : siddhartha.rastogi@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 Portfolio Manager and the same shall be

subject to SEBI (Portfolio Managers) Regulations, 2020, issued by SEBI and as amended thereto from time to time.

The complaints can be of two types:

- Received from any Regulatory Authority (SEBI/Court/Police/Any other competent authority) either by an email or letter or other mode of communication,
- Received from the Customer or Customer's representative by an email or letter or other mode of communication.

Complaints/grievances may be received in the following manner:

- a. directly by the concerned RM/client service team on their email ids or
 - b. the clients may forward their concerns on investorgrievance.aiapl@ambit.co.
 - c. clients directly register the complaints 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 Customer's serviced by them. It is their foremost duty to ensure that the complaint is resolved completely to the satisfaction of the Customer and to also ensure closure of all complaints received within 30 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 Principal Officer and/or Chief Executive Officer for guidance. In any case, an appropriate response shall be sent to the client within 30 days of receipt of the said complaint.

- b. clients may forward their concerns on 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/ Know your customer/client (KYC) department. The Compliance officer shall seek required information and after analysing 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 30 days of receipt of the said complaint.

- c. clients directly register the complaints on SCORES portal

The Customer / 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 endeavour 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 and APMI from time to time.

In case of Complaints received from any Regulator the Compliance Officer and/ 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 30 days from the receipt of the complaint, subject to all the information required by the portfolio 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 15 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 Customer and Customer does not revert back in 30 days’ time from the date of reply, AIA shall treat the final reply date as closure date of the complaint. If the Customer reverts back after 30 days from the date of final reply then the said complaint is treated as new complaint.

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

V. Complaint Register:

All the grievances needs to be entered into a Complaint Register maintained at the Head Office.

Designated Address and Email Id for sending Customer Grievances:

Registered Address:	Ambit House, 449, Senapati Bapat Marg, Lower Parel, Mumbai – 400 013, India
Corporate and correspondence Address:	One Lodha Place, 21st Floor, Unit Number 2103/2104, Senapati Bapat Marg, Lower Parel, Mumbai 400013.

Designated Email Id for Investor Grievances: 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.

VI. Exceptions:

It is not necessary that all the emails received in the designated email ID will be treated as Customer 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.

VII. 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.