



**THINQWISE WEALTH MANAGERS LLP**  
SEBI Registration No.: INP000008109

## **GRIEVANCE REDRESSAL AND DISPUTE SETTLEMENT MECHANISM**

### **INTRODUCTION:**

We, Thinqwise Wealth Managers LLP understand that strong investor service is critical for a long-term successful organization, therefore we strive to make sure that our investors receive it at every opportunity. Since prompt and efficient service is required to sustain present relationships, investor satisfaction is vital to us. Through a systematic structure for grievance redress, this policy describes grievance management. Complaints and inquiries from investors are an important kind of investor's voice. A review mechanism aids in the settlement of complaints in order to stop the occurrence of similar issues in the future.

### **OBJECTIVE:**

- All complaints will be handled by Thinqwise promptly, effectively, fairly, and impartially.

### **GRIEVANCE REDRESSAL MECHANISM:**

1. An Investor/Client can make his/her complaint through
  - a. Telephone calls; or
  - b. Email/Letter delivered to LLP via courier or post or hand delivered to LLP's Office; or
  - c. Direct complaint through SEBI SCORES Website.
2. Investors can log their complaints to an email id at [grievance@thinqwise.com](mailto:grievance@thinqwise.com)
3. All the complaints received directly from the client either through telephone calls or letters or SEBI Scores or Investor Grievance Email id should be updated in the complaint register and immediately forwarded to the Compliance Officer for a quick resolution. The register of complaints is maintained by the Compliance Officer at the Principal Place of the Business.
4. The Client may contact the Portfolio Manager using the contact details given below:  
Compliance Officer: Mr. Nitesh More  
Address: Office No-203/A, 2nd Floor, Centre Point Premises Co-Op Society Ltd, 100 Dr. Ambedkar Road, Opp Bharat Mata Cinema, Lalbaug, Parel, Mumbai-400012, Maharashtra, India.  
Contact No.: 022-49605300  
Email ID: [compliance@thinqwise.com](mailto:compliance@thinqwise.com)  
Grievance email id: [grievance@thinqwise.com](mailto:grievance@thinqwise.com)
5. All the Investor Grievances received in writing at the office &/or via email would be verified and scrutinized by the compliance officer and it would initiate necessary steps to resolve the complaint within 1 to 7 working days of the receipt of the complaint by them.
6. General Turn Around Time (TAT) for response to the complaint is (from the receipt of the valid complaint in writing) is specified by the regulator from time to time but within 30 working days. Further, the TAT can change depending on the nature and complexity of the complaint.



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7. A correspondence either by letter or e-mail shall be made with the investor who has submitted written complaints acknowledging receipt of the complaint.
8. If an investor is not satisfied with the resolution provided through various channels or the method of handling the complaint; the investor can escalate the issues to the next higher level i.e., to the Principal Officer. Such escalation should be made in writing and should be delivered in hard copy to the Office of the LLP or may be mailed at [sahil@thinkwise.com](mailto:sahil@thinkwise.com)
9. After detailed scrutiny/investigation of the complaints as above, Compliance Officer shall draft the reply and send it to the client / SEBI as the case may be.
10. The compliance officer should ensure that there is no complaint pending to be resolved for more than 30 days from their end.
11. Status of Grievances received and resolved shall be put forward in the Quarterly Board Meeting for the Board of the Designated Partner's review by the Compliance Officer.

**SEBI COMPLAINTS REDRESS SYSTEM (SCORES)**

Alternatively, with effect from September 2011, SEBI has launched a new web-based centralized grievance system called SCORES i.e., SEBI Complaints Redressal System, for online filing, forwarding, and tracking of resolution of investor complaints. The Client may also make use of the SCORES facility for any escalations on redressal of their grievances. Following is the link to visit the website and inform their dispute/complaints against the company.

<https://scores.gov.in/scores/complaintRegister.html>

12. SEBI vide press release PR No. 80/2012 dated 30<sup>th</sup> August 2012 has extended its toll-free helpline service for Investors (1800 22 7575 / 1800 266 7575) to Saturday and Sunday from the existing Monday to Friday. The service on Saturday and Sunday would be available initially to investors from all over India in English, Hindi, Marathi, and Gujarati from 9:30 a.m. to 5:30 p.m. For any queries/ feedback or assistance, the Client may also e-mail to [sebi@sebi.gov.in](mailto:sebi@sebi.gov.in)

**PROVISION RELATED TO ARBITRATION:**

Any dispute with the client shall at first be settled by mutual discussion, failing which the same will be referred to and settled by arbitration in accordance subject to the provisions of the Arbitration and Conciliation Act, 1996 or any statutory modification/enactment thereof for the time being in force.

A sole arbitrator will be appointed by mutual consent of the portfolio manager and the client. The arbitration shall be held in Mumbai and be conducted in the English language. Any action or suit involving the agreement with a client or the performance of the agreement by either party of its obligations will be exclusively in courts located at any place in India subject to the jurisdiction clause in the portfolio agreement.



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**INVESTOR CHARTER & DISPLAY OF COMPLAINTS ON THE WEBSITE:**

The Portfolio Manager shall disclose **“Annexure A – Investor Charter”** of the SEBI Circular no. SEBI/HO/IMD/IMD-II\_DOF7/P/CIR/2021/681 dated 10<sup>th</sup> December 2021 which details the different services provided by the portfolio manager to the investors along with estimated timelines for different activities at a single place for ease of reference on its website.

Further, in order to bring more transparency, the portfolio manager shall disclose on a monthly basis on its website, the data pertaining to all complaints including SCORES complaints received by it in the format as per **“Annexure B”** of the SEBI Circular no. SEBI/HO/IMD/IMD-II\_DOF7/P/CIR/2021/681 dated 10<sup>th</sup> December 2021 by the 07<sup>th</sup> of the succeeding month.