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**POLICY ON REDRESSAL OF INVESTOR GRIEVANCES**

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**Oneview Corporate Advisors Private Limited**

**CIN:** U74999MH1976PTC407933

**Registered Address:**

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### Table of Contents

| <b>Sr no.</b> | <b>Contents</b>       | <b>Page</b> |
|---------------|-----------------------|-------------|
| 1             | Introduction          | 1           |
| 2             | Objective of the Code | 1           |
| 3             | Framework             | 1           |
| 4             | Policy Review         | 3           |

## 1) **INTRODUCTION**

This Investor Grievance Redressal Policy (“Policy”) sets out the framework and mechanism adopted by Oneview Corporate Advisors Private Limited (herein referred to as “OCAPL or “the Company”,) for the receipt, handling, and redressal of client/investor queries and complaints through a structured and systematic process.

## 2) **OBJECTIVE OF THE CODE:**

The objective of this Policy is to establish a robust, structured, and transparent framework for the prompt and effective handling, resolution, and redressal of client/investor queries, concerns, and complaints.

The Company recognizes that timely and efficient resolution of client/investor grievances is integral to maintaining client/investor confidence and fostering long-term relationships. Client/Investor queries and complaints are regarded as an important source of feedback and an opportunity to enhance service standards, operational efficiency, and regulatory compliance.

Accordingly, this Policy seeks to ensure that all client/investor grievances are addressed in a fair, equitable, and time-bound manner through a well-defined mechanism that promotes transparency, accountability, and consistency in the grievance redressal process. The Company is committed to discharging this responsibility in a proactive and constructive manner, in line with applicable regulatory requirements prescribed by the Securities and Exchange Board of India.

## 3) **FRAMEWORK:**

The Company has established a structured and robust framework for the receipt, handling, and redressal of investor grievances in compliance with the requirements prescribed by the Securities and Exchange Board of India and the SEBI (Merchant Bankers) Regulations, 1992 along with relevant circulars issued from time to time, including the SEBI Complaint Redress System (“SCORES”) and “Online Resolution of Disputes (“ODR”) in the Indian Securities Market”,

### i. **Dedicated Communication Channel**

The Company has a dedicated email id [investorgrievance@oneviewadvisors.com](mailto:investorgrievance@oneviewadvisors.com) for grievances on which the client/investors can directly send any complaint/ grievance. The said email ID is also displayed on the official website of the Company <https://oneviewadvisors.com>.

### ii. **Routing of Complaints**

All communications pertaining to client/investor grievances received via the dedicated email ID shall be promptly addressed by the Compliance Officer of the Company.

### iii. **Initial Review and Follow-up**

Upon receipt of a complaint, the Compliance Officer shall undertake a preliminary review and initiate appropriate action for resolution.

iv. **Receipt of Complaints:**

The company can receive complaints either directly from client/investor in any of the modes viz physical letters, fax, e-mail, phone and personal visit. Further, clients/investors complaints are also received through SCORES, ODR, Regulatory authorities, Advocates, Consumer forums etc.

All client/investor grievances are handled in a centralized manner by the Compliance Team at the company's registered office. Upon receipt of a complaint, the Compliance Team shall record, review, and acknowledge the complaint within a reasonable timeframe.

v. **Handling of Complaint:**

The Compliance Officer shall be responsible for ensuring that all client/investor complaints are redressed promptly and without undue delay, in accordance with the requirements of the Securities and Exchange Board of India and the SEBI (Merchant Bankers) Regulations, 1992.

All client/investor grievances received by the Company shall be duly verified and scrutinized by the Compliance Team. Upon receipt of a complaint, the Compliance Officer may seek additional information or clarification from the complainant, wherever necessary, and may also call for relevant details, documents, or explanations from the concerned department(s) or officials to verify the allegations made in the complaint.

The Company shall endeavour to resolve all client/investor complaints within a target period of 30 (thirty) days from the date of receipt of the complaint and shall ensure that a clear and reasoned response is communicated to the client/investor within such timeframe.

vi. **Registration of Complaints**

The various channels available to client/Investors for registering the complaints are as follows:

a. **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 <https://scores.sebi.gov.in/> 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.

SCORES may be accessed through SCORES mobile application as well, same can be downloaded from below link:

<https://play.google.com/store/apps/details?id=com.sebi>

<https://apps.apple.com/in/app/sebiscores/id6478849917>

If the client/investor is not satisfied with the extent of redressal of grievance by the Company, there is a one-time option for 'review' of the extent of the redressal, which can be exercised within 15 days from the date of closure of the complaint on SCORES. Thereafter, the complaint shall be escalated to the supervising official of the dealing officer of SEBI.

**b. Opting for Online Dispute Resolution:**

After exhausting all aforementioned options for resolution, if the investor is not satisfied, they can initiate dispute resolution through the Online Dispute Resolution Portal (ODR) at <https://smartodr.in/login>.

As per the SEBI circular no. SEBI/HO/OIAE/OIAE\_IAD1/P/CIR/2023/131 dated July 31, 2023, titled "Online Resolution of Disputes in the Indian Securities Market", as amended from time to time, an ODR process can now be invoked by the investor against issuer or intermediary and be resolved through online conciliation and/or online arbitration as specified under the circular.

**vii. Investigation and Resolution Process**

The Compliance Team, shall:

- a. Gather and examine all relevant information pertaining to the complaint;
- b. Conduct necessary investigation and analysis;
- c. Undertake all reasonable efforts to resolve the grievance in a fair and objective manner.

The Compliance Officer shall maintain a Register of Investor Grievances in which primary details of every complaint shall be entered.

**viii. Monitoring and Review**

The Compliance Officer shall periodically review the Investor Grievance Register to monitor the status of complaints, ensure adherence to prescribed timelines, and identify any systemic issues requiring corrective action. Regular updates may be placed before the Board of Directors, as deemed appropriate.

**4) POLICY REVIEW**

This Policy shall be amended as and when necessary, with the approval of the Board of Directors of the company from time to time as it deems fit in accordance with the applicable laws, rules and regulations for the time being in force. In the event of any conflict between the provisions of this Policy and the Act or Regulations or Rules or any other statutory enactments, the provisions of such Act or Regulations or Rules or statutory enactments shall prevail over this Policy.