



ARIKA CAPITAL ADVISOR (IFSC) LLP

Unit no. FF-26, 1st Floor, Pragya Accelerator- 1, Building 15A, Road No. 1C, GIFT SEZ, Gandhinagar - 382355
LLPIN: ACL – 1821, Contact: (022) 31745771, Email: divyani@arikacapital.com / rishabh@arikacapital.com

Internal Policy: Investor Grievance Redressal Policy

Effective Date: 1 - July - 2025

Reviewed On: 30 – September – 2026

Objective

- This Policy establishes the framework for the receipt, review, resolution, escalation, and monitoring of investor complaints. It is intended to ensure that concerns are handled objectively, appropriate corrective action is taken where required, and the process remains aligned with applicable laws and regulatory requirements.

Submission and Registration of Complaints

- Investors may submit complaints through the designated grievance channels below
 - Email: compliance@arikacapital.com
 - Correspondence Address: Unit FF-26, Pragya Accelerator-1, Block 15A, Zone 1, GIFT SEZ Road 1C, GIFT CITY, Gandhinagar – 382355
- A complaint should contain:
 - Name and contact details of the investor;
 - A clear description of the concern; and
 - Supporting documents or information relevant to the complaint.
- All complaints received will be appropriately recorded and assigned for review by the designated Complaint Redressal Officer (“CRO”)
 - CRO At Arika Capital Advisor (IFSC) LLP is Divyani A. Kothari
- The CRO will *acknowledge receipt of the complaint within three working days*
- Where additional information is required, the complainant will be informed and may be requested to provide the relevant details or documents
- Where the CRO has been directly involved in the transaction or matter forming the subject of the complaint, the complaint will be reviewed by another appropriately designated officer to ensure an independent and objective assessment



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Investigation and Redressal of Complaints

- Arika Capital Advisor (IFSC) LLP has established a systematic structure that ensures a resolution within the guidelines and policies of International Financial Services Centers Authority's (IFSCA)
- Per the primary responsibility, the CRO will oversee the investigation and resolution of complaints. The review may include examination of relevant records, communications, transactions, agreements, and other supporting information
- The CRO will endeavor to resolve complaints within 30 working days of acceptance of the complaint (*i.e, the T+30 from date of acknowledgement of receipt of complaint*)
- Where a complaint requires additional time for investigation or resolution, the complainant will be appropriately informed of the status and expected timeline
- The resolution communicated to the complainant will, where appropriate, include the outcome of the review and the basis for the decision

Escalation & Appeal of Complaints

- If an investor is dissatisfied with the resolution provided by the CRO, or if the complaint has been rejected, the investor may escalate the matter to the designated Complaint Redressal Appellate Officer ("CRAO"), in accordance with the applicable regulatory framework.
 - Complaint Redressal Appellate Officer (CRAO) At Arika Capital Advisor (IFSC) LLP is Rishabh A. Kothari
- The CRAO will review the appeal independently and communicate the outcome within the prescribed timeline.
- Where an investor remains dissatisfied after exhausting Arika Capital Advisor (IFSC) LLP internal grievance mechanism, the investor may approach the relevant regulatory authority, International Financial Services Centers Authority's (IFSCA)
 - **Complaint to IFSCA:** Email to grievance-redressal@ifsc.gov.in preferably within 21 working days from the receipt of the decision from Arika Capital Advisor (IFSC) LLP

Closure of Complaints

- A complaint will be deemed closed when:
 - The resolution has been communicated and no additional response is obtained within 30 working days of the suggested settlement;
 - The complainant confirms satisfaction with the resolution; or
 - The applicable regulatory or internal grievance process has otherwise been completed.
- The closure of each complaint will be appropriately documented, including the resolution, actions taken, and date of closure.
- Clients and investors will receive written communication for closure of grievances



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Maintenance of Records

- A grievances register shall be maintained by the Compliance Officer at the registered office. All complaints received shall be entered into the complaints register. The Complaint register shall contain the details of:
 - Date and details of the complaint;
 - Date of acknowledgement;
 - Resolution and outcome;
 - Reasons for rejection, where applicable; and
 - Date and manner of closure.
- Arika Capital Advisor (IFSC) LLP shall also maintain the following records for *at least six years* from the date of disposal of the complaint.
 - All correspondence exchanged between the entity and the complainants
 - All information and documents examined and relied upon while processing the complaints

Governance and Review

- The number of complaints received, solved, rejected or pending shall be reported to the International Financial Services Centers Authority's (IFSCA) in the Quarterly Report.
- This policy will be reviewed annually by the Governance Committee to incorporate changes in regulations, industry practices, or operational requirements.