

**360 ONE WAM LIMITED****Investor Grievance Redressal Framework**

<b>Approving Authority</b>	The Stakeholders Relationship Committee of the Board of Directors of 360 ONE WAM LIMITED (" <b>Company</b> " and formerly known as IIFL Wealth Management Limited)
<b>Approval Date</b>	July 10, 2023
<b>Amendment Date</b>	October 3, 2024
<b>Effective Date</b>	Amendment approved on October 3, 2024, is effective from October 4, 2024.

## INVESTOR GRIEVANCE REDRESSAL FRAMEWORK

**1. OBJECTIVE:**

The objective of the Investor Grievance Redressal Framework ("**Framework**") is to ensure that:

- (i) All Investors are always treated fairly and without bias,
- (ii) All issues raised by Investors are dealt with courtesy and resolved promptly,
- (iii) Investors are made aware of their rights, so that they can opt for alternative remedies, in case they are not fully satisfied with the response or resolution to their complaint.

**2. DEFINITION:**

- (i) "**Company**" means 360 ONE WAM LIMITED.
- (ii) "**Grievance**" shall mean a complaint or expression of dissatisfaction with any of the services provided by the Company. This is to be distinguished from a query (which is a question or request for information) or a service request.
- (iii) "**Investor**" shall mean such person who holds equity share or debenture issued by the Company.
- (iv) "**SEBI**" shall mean Securities and Exchange Board of India.

All terms used in this Framework but not defined herein shall have the meaning assigned to such term in the Companies Act, 2013 and / or Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements), Regulations, 2015 ("**SEBI LODR**"), and circulars issued by Ministry of Corporate Affairs ("**MCA**") and SEBI, as applicable. In case of any conflict between the applicable meanings assigned to such term under the Companies Act, 2013, SEBI LODR and / or circulars issued by MCA and SEBI, the term shall be interpreted in such manner that ensures compliance with the Companies Act, 2013, SEBI LODR and circulars issued by MCA and SEBI. Unless the context otherwise requires, words in the singular include the plural and vice versa.

**3. GRIEVANCE REDRESSAL FRAMEWORK:****3.1 Transparency:**

The Investor shall be provided with all information regarding the channels they can access to service their requirements and resolve their issues. In addition, the turnaround time for issues to be redressed, shall be communicated transparently and promptly.

**3.2 Accessibility:**

## INVESTOR GRIEVANCE REDRESSAL FRAMEWORK

360 ONE WAM LIMITED enables its Investors to register Grievances through multiple channels. The Investors can reach out via letter, email, phone call or a personal visit:

Registrar and Share Transfer Agent	Company	Debenture Trustee (For Debenture Holders only)
<p>Name: Link Intime India Private Limited Address: C 101, 247 Park, L.B.S. Mark, Vikhroli (West), Mumbai-400083, Maharashtra Tel. : 810 811 6767 To raise an email query following is the link: <a href="https://liiplweb.linkintime.co.in/rnthelpdesk/ServiceRequest.html">https://liiplweb.linkintime.co.in/rnthelpdesk/ServiceRequest.html</a> Website: <a href="http://www.linkintime.co.in">www.linkintime.co.in</a></p>	<p>Mr. Rohit Bhave Company Secretary &amp; Compliance Officer Address: 360 ONE Centre, Kamala City Senapati Bapat Marg, Lower Parel, Mumbai – 400013 Tel. : +91-22-48765600 Email: <a href="mailto:secretarial@360.one">secretarial@360.one</a> Website: <a href="https://ir.360.one">https://ir.360.one</a></p>	<p>Name: Beacon Trusteeship Limited 7A &amp; B, Siddhivinayak Chambers, Gandhi Nagar, Opp. MIG Cricket Club, Bandra (E), Mumbai (MH)-400 051 Telephone: +91 22 26558759 E-mail: <a href="mailto:info@beacontrustee.co.in">info@beacontrustee.co.in</a> Website: <a href="http://www.beacontrustee.co.in">www.beacontrustee.co.in</a></p>

The Company maintains a functional website i.e. <https://ir.360.one> wherein the website provides contact details for Grievance redressal and other relevant details of the person designated for handling of Investor Grievances. Further, the Company has also registered itself on SEBI Complaints Redress System (“SCORES”) platform and SMART ODR Portal i.e. Securities Market Approach for Resolution Through ODR Portal.

Further, the Investor can write to the Company via the website for any information or Grievance using following path:

<https://ir.360.one> > Investor Information > Forms > Information Request or Investor Grievances.

Investors are requested to refer the website of the Company i.e. <https://ir.360.one> for circulars and / or notifications issued by SEBI from time to time in this regard.

### 3.3. Escalation:

The Company has appointed Link Intime India Pvt. Ltd. as its Registrar and Share Transfer Agent (“RTA”) to ensure faster and efficient provision of services to the Investors. The RTA is primarily responsible for handling Investor queries and Grievances. Accordingly, the Investor can reach out to RTA for any Grievances at the aforementioned contact details. In case an Investor is not satisfied with the resolution provided by RTA, the Grievance may be escalated as per the below Escalation Matrix.

**Level 1:** If the Investor is not satisfied with the response / resolution provided by RTA, they may reach out to the Company.

**Level 2:** If the Investor is not satisfied with the response / resolution provided by the Company, they may lodge a Complaint on SCORES mechanism at: <https://scores.sebi.gov.in>.

**Level 3:** In cases where Investors raise issues, which require adjudication on any third party rights, on questions of law or fact or which is in the nature of a litigation between parties, or if investors are not satisfied with disposal on SCORES post SEBI review, they may seek appropriate remedies through the Online Dispute Resolution (“ODR”) mechanism i.e. the SMART ODR Portal at: <https://smartodr.in/login>.

In addition, investors have the option to approach legal forums including civil courts, consumer courts etc.

Investors may approach the ODR mechanism or other appropriate civil remedies at any point of time. In case Investors opt for ODR mechanism or other appropriate civil remedies while the complaint is pending on SCORES, the complaint shall be treated as disposed on SCORES.

It may be noted that the dispute resolution through the SMART ODR Portal can be initiated only if such Grievance / complaint / dispute is not pending before any arbitral process, court, tribunal or consumer forum or if the same is non-arbitrable under Indian law.

#### **4. RESOLUTION OF GRIEVANCE:**

The Company shall endeavour redressal of routine Investor Grievances within such period as may be prescribed by SEBI from time to time. In case of non-routine complaints and complaints where external agencies are involved, Company may seek additional time from the Investor to redress the Grievances as expeditiously as possible.

#### **5. CLOSURE OF GRIEVANCE:**

A Grievance shall be considered as closed when:

- The Grievance has been addressed fully, or
- Where the response to the Grievance is sent in writing via email or letter.

Where the Investor comes back to the Company and / or RTA with the same matter after it has been closed, or with a related matter, a new Grievance will be registered to enable proper tracking.

#### **6. MONITORING OF INVESTOR GREIVANCE:**

The Company has outlined a framework to ensure a resolution of Grievance raised by the Investors within the prescribed timelines:



The Company has constituted Stakeholders Relationship Committee of the Board of Directors of the Company to inter alia review the status of Investors Grievance and to ensure timely redressal.

## 7. AMENDMENTS TO THE FRAMEWORK:

The Stakeholders Relationship Committee shall review and amend this Framework as and when required. Any subsequent amendment / modification in the applicable laws in this regard, shall automatically apply to this Framework and the Framework shall stand amended to that extent.