



## INVESTOR SERVICES

# Grievance Redressal & Dispute Resolution

It is mandatory for investors with a grievance to first approach Guardian Capital Investment Advisors Pvt. Ltd. directly. Please follow the escalation pathway below. Guardian is committed to addressing all investor complaints within the timelines prescribed by SEBI.

### STEP-BY-STEP ESCALATION PATHWAY

- 1 Write to Guardian directly**  
Reach out to the Compliance Officer or Principal Officer with the details of your complaint. Guardian will acknowledge and work toward resolution within the prescribed timelines.
- 2 Escalate to the Compliance department**  
If you have not received a reply within 10 business days, or are unsatisfied with the initial response, escalate to the Compliance department. You can expect a reply within 10 business days. Guardian shall endeavour to redress all grievances not later than 21 calendar days from the date of receipt of the complaint.
- 3 Lodge a complaint on SEBI SCORES**  
If still unsatisfied, register your complaint at [scores.sebi.gov.in](https://scores.sebi.gov.in). Complaints must be lodged within one year from the date of the cause of action. SEBI also offers a Complaint Review Facility — a one-time option to seek review within 15 days of closure on SCORES.
- 4 Online Dispute Resolution (ODR)**  
After exhausting all above options, disputes may be initiated through the SEBI Online Dispute Resolution Portal at [smartodr.in](https://smartodr.in). This channel is available where the matter is not pending before any court, tribunal, arbitral process, or consumer forum.

### CONTACT DETAILS

<b>COMPLIANCE OFFICER</b> <b>Mrs. Rinku H Jain</b> rinku.jain@gcia.in +91 80194 46055	<b>PRINCIPAL OFFICER</b> <b>Guardian Capital Investment Advisors</b> info@gcia.in	<b>SEBI HELPLINE</b> <b>SEBI Toll Free</b> 1800 22 7575 1800 266 7575
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### RESOLUTION TIMELINES

<b>10</b> Business days initial response	<b>10</b> Business days compliance response	<b>21</b> Calendar days maximum redressal	<b>15</b> Days for SCORES complaint review
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## SEBI SCORES 2.0

### **SEBI SCORES 2.0 Investor Grievance Portal**

Lodge your complaint at [scores.sebi.gov.in](https://scores.sebi.gov.in). Complaints must be filed within one year from the cause of action. SEBI SCORES can also be accessed via the SCORES mobile app (available on Android and iOS).

#### **Eligible to file on SCORES when:**

- Guardian has been approached and the complaint was rejected, or
- No communication was received from Guardian, or
- The investor is not satisfied with the reply or action taken

**App links:** [play.google.com/store/apps/details?id=com.sebi](https://play.google.com/store/apps/details?id=com.sebi) | [apps.apple.com/in/app/sebiscores/id1493257302](https://apps.apple.com/in/app/sebiscores/id1493257302)

## ONLINE DISPUTE RESOLUTION (ODR)

### **ODR PORTAL Online Dispute Resolution**

If the grievance remains unresolved after all escalation steps, investors may initiate dispute resolution through SEBI's Online Dispute Resolution Portal at [smartodr.in](https://smartodr.in). This facility is available at any stage of escalation once the portfolio manager's response is unsatisfactory, provided the matter is not pending before any court, tribunal, arbitral process, or consumer forum, and is not non-arbitrable under Indian law.