

## **FORTRESS CAPITAL MANAGEMENT SERVICES**

### **INVESTOR GRIEVANCE REDRESSAL POLICY**

*Fortress Capital Management Services Pvt. Ltd. (“FCMS” or the “Company”) recognizes that efficiently managing complaints, along with implementing timely corrective and preventive measures, is crucial for delivering high-quality services.*

*This policy document is to enable us to establish a system for receiving and addressing investor complaints, with a focus on resolving them in a fair and prompt manner.*

*The objective of this policy is to ensure that:*

- *Investor concerns are addressed with consideration and resolved promptly.*
- *The Company handles all complaints impartially, efficiently, and fairly.*

**CONTENTS**

- Definitions ..... 3
- Core commitments ..... 3
- Grievance Redressal Policy ..... 4
- Resolution of Complaints ..... 5
- Escalation of Complaints ..... 6
- Changes to Policy ..... 6

- **DEFINITIONS**

**Investors:** This shall mean an individual, entity, body corporate or such other person who shall be an investor in securities or would be investing in securities of an entity related to any of the transactions undertaken by the Company in its capacity as a Merchant Banker.

**Client/ Customer:** This shall mean client/ customer of the Company.

**Complaint or Grievance:** This is “An expression of dissatisfaction made by the investor related to the services of the Company and/ or its client including in respect of the any of the transaction undertaken by Company in its capacity as a Merchant Banker”. This, however, needs to be differentiated from matters like from general feedback, enquiry before the due date.

**Redressal:** This can be defined as a process or action resulting in giving solution to the problem faced by an investor.

- **CORE COMMITMENTS**

**Accessibility:** The Company will provide investors with multiple channels to communicate their complaints or concerns and access redressal services.

**Transparency:** Investors will receive information about the available channels to submit and resolve their issues. Additionally, if a resolution is expected to take longer than anticipated, this will be communicated to the investor.

**Escalation:** Information on the process of escalation of complaints to higher level, in case the investor is not satisfied with the resolution provided by the current person handling the same.

▪ **GRIEVANCE REDRESSAL POLICY**

**Registration of Complaints**

Investors have access to the following channels to register their complaints:

- **SEBI Complaints Redress System (SCORES):** SEBI’s web-based grievance redressal system, SCORES, allows investors to file and monitor complaints online via the SEBI website <https://scores.sebi.gov.in/>. This system also enables investors to track the status of their complaints from any location. Complaints can also be submitted in physical form at SEBI offices, where they are scanned and uploaded into SCORES for processing.
- **Company E-Mail:** Investors can lodge their complaints or escalate the investor grievance by emailing [info@fortresscapital.in](mailto:info@fortresscapital.in) .
- **Grievance Redressal Officer:** Investors can contact the Compliance Officer for redressal of issues.

**Details of Key Personnel**

The following are the contact details of key personnel who will redress investor grievances:

Sr No.	PARTICULARS	KMP
1	Designation	Compliance Officer
2	Name	Mr. Hitesh Doshi
3	Contact Number	022 22007973 / 98702 55325
4	Grievance Email id	<a href="mailto:info@fortresscapital.in">info@fortresscapital.in</a>

▪ **RESOLUTION OF COMPLAINTS**

**Responsibility**

- The Compliance Officer holds primary responsibility for resolving complaints and will coordinate internally and with other intermediaries as needed.
- If the issue cannot be resolved by the Compliance Officer, the same will be escalated to the Senior Management.
- All complaints received will be reviewed internally, along with details on how each was resolved.

**Response Time**

General, Turn Around Time (TAT) for response to complaint (from the receipt of the valid complaint in writing) is:

Sr. No.	PARTICULARS	TIME PERIOD
1	Allotment/ Refund related	Within 10 working days*
2	Legal notices	Within 30 working days
3	Cases involving third party	Within 15 working days
4	Fraud related	Within 30 working days
5	All other cases	Within 15 working days
6	SCORES related	As specified by the regulator from time to time

**\* Our working days are from Monday to Friday.**

**Note:** The above TAT are subject to change depending upon the nature and complexity of the complaint.

- **ESCALATION OF COMPLAINTS**

If an investor remains dissatisfied with the resolution provided through the available channels or the handling of their complaint, they have the option to escalate the matter to a higher authority, namely the Directors of the Company. This escalation must be submitted in writing and sent in hard copy to the Company's Registered Office.

- **CHANGES TO POLICY**

The Company shall reserve the rights to review and make amendment to the policy 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. An interim review and amendment can also be carried out to accommodate minor changes, if any, on regulatory and operating front by the Compliance Officer of the Company.