UNIFI CAPITAL

INVESTOR GRIEVANCE REDRESSAL MECHANISM

License	Escalation Matrix				
	First level	**Second level**	**Third Level**	**Fourth Level**	**Fifth Level**
PMS	**Investor Relation Officer** **Name:** Mr. T.E. Govindarajan **Designation:** Head of Operations and Investor Relation Officer **Address:** Unifi Capital Pvt Ltd, 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600 006 **Tel**: 044-28331556 **Email ID**: ir@unificap.com	**Compliance Officer** **Name**: Ms. Anu R Kaimal **Designation**: Compliance Officer **Address**: Unifi Capital Pvt Ltd, 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600 006 **Tel**: 044-28331556 **Email ID**: compliance@unificap.com	**Principal Officer** **Name**: Mr. K. Sarath Reddy **Designation**: Managing Director and Principal Officer **Address**: Unifi Capital Pvt Ltd, 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600006 **Tel**: 044-28331556 **E-mail ID:** sarath@unificap.com	**SEBI** **Offline Complaints** For offline complaints, investors may write to: **Office of Investor Assistance and Education**, Securities Exchange Board of India, SEBI Bhavan, Plot No. C4-A, G Block, Bandra Kurla Complex, Bandra (E), Mumbai – 400051 **Online Complaints** **I. SCORES** For online complaints, visit **SCORES** (SEBI Complaints Redress System)- URL – http://scores.gov.in **II. ODR** Online Dispute Resolution (ODR) platform (URL - https://smartodr.in/login)	-

Broking	**Head of Operations**	**Compliance Officer**	**Executive Director and CEO**	**Stock Exchanges**	**SEBI**
	Name: Mr. T.E. Govindarajan **Designation:** Head of Operations **Address:** Unifi Capital Pvt Ltd, 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600 006 **Tel**: 044-28331556 **Email ID**: ir@unificap.com	**Name**: Ms. Anu R Kaimal **Designation**: Compliance Officer **Address**: Unifi Capital Pvt. Ltd 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600 006 **Tel**: 044-28331556 **Email ID**: compliance@unificap.com	**Name**: Mr. Christopher Vinod **Designation**: Executive Director and CEO **Address**: Unifi Capital Pvt. Ltd, 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600 006 **Tel**: 044-28331556 **E-mail ID**: chris@unificap.com	• National Stock Exchange- **Website**: www.nseindia.com **Contact No**- 18002660058 **Email ID** - ignse@nse.co.in • Bombay Stock Exchange- **Website**: www.bseindia.com **Contact No**- 022-22728097 **Email ID-** is@bseindia.com	**Offline Complaints** For offline complaints, investors may write to: **Office of Investor Assistance and Education**, Securities Exchange Board of India, SEBI Bhavan, Plot No. C4-A, G Block, Bandra Kurla Complex, Bandra (E), Mumbai – 400051 **Online Complaints** **I. SCORES** For online complaints, visit **SCORES** (SEBI Complaints Redress System)- URL – http://scores.gov.in **II. ODR** Online Dispute Resolution (ODR) platform (URL - https://smartodr.in/login)

DP	**Head of Operations**	**Compliance Officer**	**Executive Director and CEO**	**Depository Participant**	**SEBI**
	Name: Mr. T.E. Govindarajan **Designation:** Head of Operations **Address:** Unifi Capital Pvt Ltd, 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600 006 **Tel**: 044-28331556 **Email ID**: ir@unificap.com	**Name**: Ms. Anu R Kaimal **Designation**: Compliance Officer **Address**: Unifi Capital Pvt. Ltd, 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600 006 **Tel**: 044-28331556 **Email ID**: compliance@unificap.com	**Name**: Mr. Christopher Vinod **Designation**: Executive Director and CEO **Address**: Unifi Capital Pvt. Ltd, 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600 006 **Tel**: 044-28331556 **E-mail ID**: chris@unificap.com	CDSL – **Website**: www.cdsl.india.com **Contact No**-18002005533, 022-2272333 **Email ID** – complaints@cdslindia.com	**Offline Complaints** For offline complaints, investors may write to: **Office of Investor Assistance and Education**, Securities Exchange Board of India, SEBI Bhavan, Plot No. C4-A, G Block, Bandra Kurla Complex, Bandra (E), Mumbai – 400051 **Online Complaints** **I. SCORES** For online complaints, visit **SCORES** (SEBI Complaints Redress System)- URL – http://scores.gov.in **II. ODR** Online Dispute Resolution (ODR) platform (URL - https://smartodr.in/login)

AIF	**Investment Manager (IM):** **Name of concerned officer of IM**: Mr. T. E. Govindarajan **Designation**: Head of Operations **Name and address of IM:** Unifi Capital Pvt Ltd, 11 Kakani Towers, 15, Khader Nawaz Khan Road, Chennai-600 006 **Tel**: 044-28331556 **Email ID**: ir@unificap.com	**Compliance Officer** **Name**: Ms. Anu R Kaimal **Designation**: Compliance Officer **Address**: Unifi Capital Pvt. Ltd, 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600 006 **Tel**: 044-28331556 **Email ID**: compliance@unificap.com	**Executive Director and CEO** **Name**: Mr. Christopher Vinod **Designation**: Executive Director and CEO **Address**: Unifi Capital Pvt. Ltd, 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600 006 **Tel**: 044-28331556 **E-mail ID**: chris@unificap.com	**SEBI** **Offline Complaints** For offline complaints, investors may write to: **Office of Investor Assistance and Education**, Securities Exchange Board of India, SEBI Bhavan, Plot No. C4-A, G Block, Bandra Kurla Complex, Bandra (E), Mumbai – 400051 **Online Complaints** **I. SCORES** For online complaints, visit **SCORES** (SEBI Complaints Redress System)- URL – http://scores.gov.in **II. ODR** Online Dispute Resolution (ODR) platform (URL - https://smartodr.in/login)	

RA	**Compliance Officer** **Name**: Ms. Anu R Kaimal **Designation**: Compliance Officer **Address**: Unifi Capital Pvt. Ltd, 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600 006 **Tel**: 044-28331556 **Email ID**: compliance@unificap.com	**Principal Officer – RA division** **Name**: Mr. Sandeep Joshi **Designation**: Principal Officer-RA division **Address**: Unifi Capital Pvt. Ltd, 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600 006 **Tel**: 044-28331556 **E-mail ID**: sandeep@unificap.com	**Executive Director and CEO** **Name**: Mr. Christopher Vinod **Designation**: Executive Director and CEO **Address**: Unifi Capital Pvt. Ltd, 11, Kakani Towers,15, Khader Nawaz Khan Road, Chennai 600 006 **Tel**: 044-28331556 **E-mail ID**: chris@unificap.com	**SEBI** **Offline complaints** For offline complaints, investors may write to: **Office of Investor Assistance and Education** Securities and Exchange Board of India, SEBI Bhavan, Plot No. C4-A, 'G' Block, Bandra-Kurla Complex, Bandra (E), Mumbai - 400 051. **Online Complaints** **I. SCORES** For online complaints, **SCORES** (SEBI Complaints Redress System) or Research Analyst Administration and Supervisory Body (RAASB) Scores 2.0 (https://scores.sebi.gov.in). Two level review for complaint/grievance against Research Analyst: • First review done by designated body (RAASB)	-

				• Second review done by SEBI ii. Email to designated email ID of RAASB – ra.membership@bseindia.com **II. ODR** Online Dispute Resolution (ODR) platform (URL – https://smartodr.in/login)	