

Grievance Process

- Securities and Exchange Board of India ("SEBI") vide its Circular No. SEBI/HO/OIAE_IAD-1/P/CIR/2023/131 dated July 31, 2023 has introduced online Resolution of Disputes mechanism in the Indian Securities Market streamlining the existing dispute resolution mechanism by establishing a common Online Dispute Resolution Portal ("ODR Portal") which harnesses online conciliation and online arbitration for resolution of disputes arising in the Indian Securities Market.

- In pursuance of the above-mentioned circular, this is to bring to your notice that Shomesh Kumar (Investment Advisory) has registered itself on the SMART ODR ("Securities Market Approach for Resolution Through ODR") Portal.

- Steps before registering the complaint on the ODR Portal is hereby provided:

Step 1: Direct Contact with Shomesh Kumar (Investment Advisory)

An investor/client shall first attempt to resolve the issue by lodging the complaint directly with Shomesh Kumar (Investment Advisory). The Investor/client can reach out to us at investments@shomeshkumar.in

Step 2: SCORES Registration (If Unsatisfied with Company's Resolution)

If not satisfied with the resolution provided by Shomesh Kumar (Investment Advisory), the Investor/client has the option to register their complaint on the SCORES portal: <https://scores.sebi.gov.in> in accordance with process laid out therein.

Step 3: ODR Portal Lodging (If Still Unsatisfied)

After exhausting all available options for resolution of the grievance, if the investor/client is still not satisfied with the outcome provided by SCORES platform, he/she can initiate dispute resolution through the ODR Portal.

- The ODR Portal is a platform where the Investor/client can lodge a complaint only after raising the complaint directly with the company or the SCORES platform of SEBI provided no complaint is pending at any level or with any court, tribunal, consumer forum or before any other arbitral process.

- Under ODR Portal, the complaint will sought to be resolved using the Conciliation or Arbitration process. In case of non-resolution through the Conciliation process, the matter can be referred for Arbitration. The entire process will be conducted in the online mode.

- For more information on how to resolve disputes through ODR Portal kindly refer to the SEBI Circular. Online Dispute Resolution (ODR) Portal: <https://smartodr.in/login>