

Redressal of Client Grievances

The disclosures and procedures detailed below are maintained specifically in relation to the Investment Advisory Services offered by Houlihan Lokey Advisory (India) Private Limited. This framework outlines our dedicated grievance redressal mechanism, contact channels, regulatory escalation pathways, and our official Investment Adviser (IA) escalation matrix.

The clients can seek clarification on their queries and are further entitled to make a complaint in writing, verbally, or telephonically.

An email may be sent directly to Tejas Dawda, Compliance Officer, at HL-ComplianceIndia@HL.com, or you can connect via telephone at +91-22-228866544. A physical letter may also be written with your query or complaint and posted to our registered office address at Houlihan Lokey Advisory (India) Private Limited, Altimus, 17th Floor, Dr. GM Bhosale Marg, Opp. Mahindra Tower, B Wing, Worli, Mumbai, Maharashtra 400018. It is mandatory for any client having a grievance to first take up the matter directly with the Investment Adviser.

The Investment Adviser shall redress the grievance within 21 calendar days from the date of receipt of the complaint. In case the client is still not satisfied with the response, a formal grievance can be lodged with SEBI via the upgraded SCORES 2.0 portal at <https://scores.sebi.gov.in>, or by contacting the SEBI Office on their Toll-Free Helpline at 1800 266 7575 or 1800 22 7575.

Procedure for Lodging Complaints via SEBI SCORES 2.0

To lodge a complaint on the SEBI SCORES 2.0 portal, the complainant must submit their grievance within one year from the date of the cause of action. This option becomes available once the complainant has first approached the Investment Adviser for redressal and the Investment Adviser has subsequently rejected the complaint, failed to provide any response or communication within the mandated timelines, or provided a reply and redressal action that the complainant deems unsatisfactory.

SCORES may also be accessed through the official SEBI SCORES mobile application, which can be downloaded for Android devices via the [SEBI SCORES: Google Play](#) and for iOS devices via the [IoS SCORES Link](#)

If the client is not satisfied with the extent of the grievance redressal by the Investment Adviser, there is a one-time option for the "Complaint Review Facility" regarding the extent of the redressal, which can be exercised within 15 days from the date of the complaint's closure on SCORES. Thereafter, the complaint shall be escalated to the supervising official of the dealing officer at SEBI.

After exhausting all the aforementioned options for resolution, if the client is still not satisfied, they can initiate a dispute resolution process through the Online Dispute Resolution Portal (the "ODR Portal") at <https://smartodr.in>. Alternatively, the client can directly initiate dispute resolution through the ODR Portal if the grievance lodged with the Investment Adviser is not satisfactorily

resolved at any stage of the subsequent escalations mentioned above. The dispute resolution through the ODR Portal can be initiated, provided the complaint or dispute is not currently under consideration under separate SCORES guidelines, is not pending before any arbitral process, court, tribunal, or consumer forum, and is non-arbitrable in terms of Indian law.

Investor Grievance Escalation Matrix of Investment Advisers

Name and Designation	Contact Number and Email	Address
Tejas Dawda Compliance Officer	tejas.dawda@hl.com +91-9022784479	Altimus, 17th Floor, DR. GM Bhosale Marg, Opp. Mahindra Tower, B Wing, Worli, Mumbai, Maharashtra 400018
Sameer Jindal Principal Officer	sameer.jindal@hl.com +91-22-9228866545	Altimus, 17th Floor, DR. GM Bhosale Marg, Opp. Mahindra Tower, B Wing, Worli, Mumbai, Maharashtra 400018
Rishi Aswani Executive Director	rishi.aswani@hl.com +91-22-9228866544	Altimus, 17th Floor, DR. GM Bhosale Marg, Opp. Mahindra Tower, B Wing, Worli, Mumbai, Maharashtra 400018