

Introduction of Online Dispute Resolution Mechanism of SEBI

Dear Shareholders,

The Securities and Exchange Board of India (“SEBI”) vide its Circular No. SEBI/HO/OIAE/OIAE_IAD-1/P/CIR/2023/131 on July 31, 2023 read with a Corrigendum (Ref. No. SEBI/HO/OIAE/OIAE_IAD-1/P/CIR/2023/135) issued on August 4, 2023 has introduced a common Online Dispute Resolution (“ODR”) mechanism to facilitate online resolution of all kinds of disputes arising in the Indian securities market. The ODR Portal allows investors with an additional mechanism to resolve the grievances

The aforesaid SEBI circular/corrigendum can be accessed on the website of SEBI at <https://www.sebi.gov.in/> or on the website of the Company at : <https://www.iimlindia.com/updates.aspx>

The new Metrix to raise a compliant/dispute under the investor grievance redressal mechanism (including through the ODR web portal) is, as below :

1. Level 1 – The Company/Link Intime India Private Limited [Registrar and Transfer Agent (“RTA”)] :

Initially, all grievances/disputes/complaints are required to be directly lodged with the Company/the RTA

Shareholders of IL&FS Investment Managers Limited may lodge the same by sending an e-mail at: investor.relations@ilfsindia.com or rnt.helpdesk@linkintime.co.in or by sending physical correspondence at :

IL&FS Investment Managers Limited
The IL&FS Financial Centre, Plot No. C-22, G Block,
Bandra Kurla Complex, Bandra (East),
Mumbai 400 051
Maharashtra, India

OR

Link Intime India Private Limited
Unit: IL&FS Investment Managers Limited
C-101, 247 Park,
L.B.S. Marg, Vikhroli (West),
Mumbai 400 083
Maharashtra, India

OR

Shareholders can also lodge their complaint through a portal named “SWAYAM” which is an Investor Self-Service Portal launched by RTA. The same can be accessed at : <https://swayam.linkintime.co.in/>

SWAYAM is a secure, user-friendly platform that empowers investors to effortlessly access information through a dashboard and avail various services in digital mode through registration over the portal. Details of key features and benefits along with the steps for registration can be accessed at : https://linkintime.co.in/Swayam_info.html

2. Level 2 – SEBI SCORES :

Grievances/disputes/complaints which are not resolved at Level 1 or if the shareholder is not satisfied with the resolution provided by the Company/the RTA, then a complaint may be raised on SEBI Complaints Redress System (“SCORES”) which can be accessed at <https://scores.sebi.gov.in/>

3. Level 3 – ODR Platform :

In case the shareholder is not satisfied with the resolution provided at Level 1 or 2, then the online dispute resolution process may be initiated through the ODR portal within the applicable timeframe under law. The ODR platform can be accessed at <https://smartodr.in/login>

Note :

- a) This is to clarify that the shareholder(s) may initiate dispute resolution through the ODR Portal without having to go through SCORES Portal, if the grievance lodged with the Company/the RTA is not resolved satisfactorily
- b) It may be noted that the dispute resolution through the ODR portal can be initiated only if such complaint/dispute is not pending before any arbitral process, court, tribunal or consumer forum or if the same is non-arbitral under Indian law
- c) There is no fee for registration of complaints/disputes on the ODR Portal. However, the process of conciliation/arbitration through ODR portal may attract fee and the same shall be borne by the concerned investor/listed entity/its RTA (as the case may be)