

Sapient Investment Advisor

Annexure B (Complaint Status)

Data for the month ending – September 2023.

Sr. No	Received from	Pending at the end of Last month	Received	Resolved	Total Pending	Pending complaints > 3 months	*Average Resolution time (in days)
1	Directly from Investors	0	0	0	0	0	0
2	SEBI (SCORES)	0	0	0	0	0	0
3	Other Sources (if any)	0	0	0	0	0	0
	Grant Total	0	0	0	0	0	0

Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

Trend of monthly disposal of complaints

Sr. no.	Month	Carried forward from previous month	Received	Resolved*	Pending#
1	April, 2023	0	0	0	0
2	May, 2023	0	0	0	0
3	June, 2023	0	0	0	0
4	July, 2023	0	0	0	0
5	August, 2023	0	0	0	0
6	September, 2023	0	0	0	0
7	October, 2023				
8	November, 2023				
9	December, 2023				
10	January, 2024				
11	February, 2024				
12	March, 2024				
	Grant Total	0	0	0	0

* Inclusive of complaints of previous months resolved in the current month.

Inclusive of complaints pending as on the last day of the month.

Trend of annual disposal of complaints

Sr. no.	Year	Carried forward from previous year	Received	Resolved*	Pending#
1	2020-21	0	0	0	0
2	2021-22	0	0	0	0
3	2022-23	0	0	0	0
	Grand Total	0	0	0	0

* Inclusive of complaints of previous years resolved in the current year.

Inclusive of complaints pending as on the last day of the year.

“Disclosure with respect to compliance with Annual compliance audit requirement under Regulation 19(3) of SECURITIES AND EXCHANGE BOARD OF INDIA (INVESTMENT ADVISERS) REGULATIONS, 2013 for last and current financial year are as under:

Sr. No.	Financial Year	Compliance Audit Status	Remarks, If any
1	FY 2020-21	Conducted	NA
2	FY 2021-22	Conducted	NA
3	FY 2022-23	Conducted	NA

Annexure- A

Investor Charter in respect of Investment Adviser (IA)

A. Vision and Mission Statements for investors

- **Vision** - Invest with knowledge & safety.
- **Mission** - Every investor should be able to invest in right investment products based on their needs, manage and monitor them to meet their goals, access reports and enjoy financial wellness.

B. Details of business transacted by the Investment Adviser with respect to the investors

- To enter into an agreement with the client providing all details including fee details, aspect of Conflict of interest disclosure and maintaining confidentiality of information.
- To do a proper and unbiased risk – profiling and suitability assessment of the client.
- To obtain registration with Know Your Client Registration Agency (KRA) and Central Know Your Customer Registry (CKYC).
- To conduct audit annually.
- To disclose the status of complaints in its website.
- To disclose the name, proprietor name, type of registration, registration number, validity, complete address with telephone numbers and associated SEBI regional/local Office details in its website.
- To employ only qualified and certified employees.
- To deal with clients only from official number.
- To maintain records of interactions, with all clients including prospective clients (prior to onboarding), where any conversation related to advice has taken place.

C. Details of services provided to investors (No Indicative Timelines)

- Onboarding of Clients
 - o Sharing of agreement copy
 - o Completing KYC of clients
- Disclosure to Clients
 - o To provide full disclosure about its business, affiliations, compensation in the agreement.
 - o To not access client’s accounts or holdings for offering advice.
 - o To disclose the risk profile to the client.
- To provide investment advice to the client based on the risk-profiling of the clients and suitability of the client.

D. Details of grievance redressal mechanism and how to access it

1. In case of any grievance / complaint, an investor should approach the concerned Investment Adviser and shall ensure that the grievance is resolved within 30 days.
2. If the investor's complaint is not redressed satisfactorily, one may lodge a complaint with SEBI on SEBI's 'SCORES' portal which is a centralized web-based complaints redressal system. SEBI takes up the complaints registered via SCORES with the concerned intermediary for timely redressal. SCORES facilitate tracking the status of the complaint.
3. With regard to physical complaints, investors may send their complaints 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-400051.

E. Expectations from the investors (Responsibilities of investors)

• Do's

- i. Always deal with SEBI registered Investment Advisers.
- ii. Ensure that the Investment Adviser has a valid registration certificate.
- iii. Check for SEBI registration number. Please refer to the list of all SEBI registered Investment Advisers which is available on SEBI website in the following link:
<https://www.sebi.gov.in/sebiweb/other/OtherAction.do?doRecognisedFpi=yes&intmId=13>)
- iv. Pay only advisory fees to your Investment Adviser. Make payments of advisory fees through banking channels only and maintain duly signed receipts mentioning the details of your payments.
- v. Always ask for your risk profiling before accepting investment advice. Insist that Investment Adviser provides advisory strictly on the basis of your risk profiling and take into account available investment alternatives.
- vi. Ask all relevant questions and clear your doubts with your Investment Adviser before acting on advice.
- vii. Assess the risk–return profile of the investment as well as the liquidity and safety aspects before making investments.
- viii. Insist on getting the terms and conditions in writing duly signed and stamped. Read these terms and conditions carefully particularly regarding advisory fees, advisory plans, category of recommendations etc. before dealing with any Investment Adviser.
- ix. Be vigilant in your transactions.

- x. Approach the appropriate authorities for redressal of your doubts / grievances.
- xi. Inform SEBI about Investment Advisers offering assured or guaranteed returns.

• **Don'ts**

- xii. Don't fall for stock tips offered under the pretext of investment advice.
 - xiii. Do not provide funds for investment to the Investment Adviser.
 - xiv. Don't fall for the promise of indicative or exorbitant or assured returns by the Investment Advisers. Don't let greed overcome rational investment decisions.
 - xv. Don't fall prey to luring advertisements or market rumors.
 - xvi. Avoid doing transactions only on the basis of phone calls or messages from any Investment adviser or its representatives.
 - xvii. Don't take decisions just because of repeated messages and calls by Investment Advisers.
 - xviii. Do not fall prey to limited period discount or other incentive, gifts, etc. offered by Investment advisers.
 - xix. Don't rush into making investments that do not match your risk taking appetite and investment goals.
 - xx. Do not share login credential and password of your trading and demat accounts with the Investment Adviser.
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Sapient Investment Advisors

Name of Investment Adviser – Sapient Wealth Advisors and Brokers Private Limited

CIN – U74992PN2009PTC134179

SEBI IA Registration Number – INA000015561 **BASL Membership ID** – 1424

Type of Registration - Non-Individual **Validity of Registration** – Perpetual

Address of Investment Adviser – 401, Guardian Square, CTS No. 8/20, Erandwane, Opposite Nisarg Hotel, Pune 411004, Maharashtra

Contact Details - +91 7066887878

Name of Principal Officer – Mr. Dhruv Lalit Mehta

Contact No. & Email ID of the Principal Officer – +91 22 44741990; dhruv@sapientwealth.co.in

Name of Compliance Officer – Mr. Umesh Gore

Contact No. & Email ID of the Compliance Officer – +91 7066887878; riaconnect@sapientwealth.co.in

SEBI Regional/Local Office Address – Securities and Exchange Board of India, SEBI Bhavan, Plot No. C4-A, 'G' Block, Bandra Kurla Complex, Bandra (East), Mumbai 400051, Maharashtra.

DISCLAIMER: Investment in securities market are subject to market risks. Read all the related documents carefully before investing. There is no assurance or guarantee that the objectives of the Scheme will be achieved. Past performance of the Sponsor/Mutual Fund/Securities/Investment Manager are not indicative of the future performance of the Scheme(s). Registration granted by SEBI, membership of BASL and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors.