

TaS WASH and Waste Fund

A scheme under Zero Poverty Ventures India Funds
Category II Alternative Investment Fund

080-28436577

suresh@yunusfb.com

www.yusfb.in

TaS WASH and Waste Fund GRIEVANCE REDRESSAL POLICY

Version 1

Approved by the Board of Directors of Yunus Social Business Fund Bengaluru Private Limited
(Investment Manager of TaS WASH and Waste Fund) on 06th February 2025

A handwritten signature in blue ink is positioned to the left of a circular blue stamp. The stamp contains the text "TaS WASH and Waste Fund" around the perimeter and a small star at the bottom.

Registered Office: 103-106-107, Anjanapura Main Road,
Avalahalli, JP Nagar 9th Phase, Bengaluru- 560062 India

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1. OVERVIEW OF THE FUND

The **TaS WASH and Waste Fund** (‘the Fund’) is registered as a Category II Alternative Investment Fund (“AIF”) with the Securities and Exchange Board of India (“SEBI”) under Registration No: IN/AIF2/23-24/1377. The Fund is a scheme of **Zero Poverty Ventures India Funds**, established as a trust under the Indian Trusts Act, 1882, and governed by the SEBI (Alternative Investment Fund) Regulations, 2012 (“AIF Regulations”).

The Fund is managed and sponsored by **Yunus Social Business Fund Bengaluru Private Limited** (“Sponsor” or “Investment Manager” or YSBFB”). **Axis Trustee Services Limited** serves as the Trustee. The Fund focuses on investing in Small and Medium Enterprises (“SMEs”) in India’s **WASH and Waste Sectors**, including drinking water, sanitation, hygiene, and solid waste management, with a mission to generate social and environmental impact alongside financial returns.

2. PURPOSE OF THE POLICY

The purpose of this Grievance Redressal Policy is to establish a structured mechanism to address and resolve grievances raised by investors of the **TaS WASH and Waste Fund** (the “Fund”). This policy ensures transparency, accountability, and compliance with the Securities and Exchange Board of India (SEBI) regulations and the Fund’s governing documents. **Yunus Social Business Fund Bengaluru Private Limited (YSBFB)**, as the Sponsor and Investment Manager of the Fund, is committed to resolving investor grievances promptly and fairly.

3. SCOPE

This policy applies to all grievances related to the Fund, including those arising from transactions, investment decisions, or any disputes between investors, the Fund, the Sponsor/Investment Manager. It aligns with the Fund’s governing documents and SEBI’s guidelines for Alternative Investment Funds (AIFs).

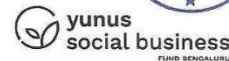
4. GRIEVANCE REDRESSAL MECHANISM

Investors may report grievances related to the Fund through the following channels:

a) DIRECT REPORTING TO THE INVESTMENT MANAGER

Investors are encouraged to first address their complaints directly to **YSBFB** through the contact details provided in the Fund’s documentation. The Investment Manager will aim to resolve the grievance within **21 days** of receiving the complaint. If additional time is required, the complainant will be informed of the expected resolution timeline.

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b) ESCALATION TO SEBI THROUGH SCORES

If the grievance is not resolved satisfactorily by the Investment Manager, investors may escalate the complaint to SEBI through the SEBI Complaints Redress System (SCORES). The SCORES platform provides a transparent and systematic mechanism to track and address complaints.

c) RESOLUTION THROUGH THE ODR PORTAL

If the grievance remains unresolved even after escalation to SCORES, the investor can initiate dispute resolution through the Online Dispute Resolution (ODR) portal. The ODR portal offers a technology-driven platform for efficient and amicable resolution of disputes.

d) ESCALATION FLOW

The grievance handling and escalation process will follow these steps:

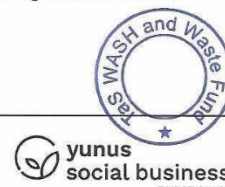
- i) Investor Reports Grievance → 2. Investment Manager Reviews and Resolves Complaint
- ii) Unresolved Complaints Escalated to SEBI SCORES → 4. Unresolved Issues Directed to ODR Portal.

5. HANDLING OF INVESTOR COMPLAINTS BY THE INVESTMENT MANAGER

As the Investment Manager of the TaS WASH and Waste Fund, Yunus Social Business Fund Bengaluru Private Limited (YSBFB) is committed to addressing investor complaints with professionalism, transparency, and efficiency. The following outlines the procedure for handling investor complaints:

- a) **Documentation Review:** The Investment Manager will thoroughly review all relevant documents, including the Fund's governing documents, transaction details, and any communications related to the complaint.
- b) **Stakeholder Engagement:** If the complaint involves third parties, such as service providers or affiliates, the Investment Manager will coordinate with the relevant stakeholders to gather necessary information and resolve the issue.
- c) **Internal Compliance Check:** The complaint will be reviewed in light of regulatory and internal compliance frameworks to ensure adherence to SEBI regulations and Fund policies.
- d) **Resolution Communication:** Once a resolution is determined, the complainant will be informed in writing, detailing:
 - i) The findings of the investigation.

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- ii) Steps taken to address the issue.
- iii) Any further actions, if applicable.

e) **Contact Information:** Investors may contact YSBFB for grievance redressal at:

- i) **Address:** No.103-106-107, T Muniswamappa Trust, Anjanapura Main Road, Avalahalli, JP Nagar 9th Phase, Bengaluru-560108
- ii) **Email:** asif.khan@yunussb.com
- iii) **Phone:** +91 9583705538
- iv) **SEBI SCORES Registration Number:** AIF01286

6. SEBI COMPLAINTS REDRESS SYSTEM (SCORES)

To ensure transparency and accountability in grievance redressal, the Fund will leverage the SEBI Complaints Redress System (SCORES) as a key mechanism for addressing unresolved investor grievances. This platform, developed by SEBI, provides an organized, accessible, and systematic process for resolving complaints.

a) KEY FEATURES OF THE SEBI SCORES PLATFORM:

- i) **Ease of Access:** Investors can register grievances directly on the SEBI SCORES portal.
- ii) **Transparent Process:** The platform allows investors to track the status of their complaints in real time.
- iii) **Regulatory Oversight:** SEBI ensures that all complaints registered on the platform are addressed in a timely and effective manner.
- iv) **Secure and Confidential:** The portal maintains the confidentiality of investor information and grievance proceedings.

b) PROCESS FOR USING THE SEBI SCORES PLATFORM:

- i) **Registration:** Investors can register on the SCORES platform by visiting the SEBI website and providing necessary details, including PAN, contact information, and Fund-related specifics.
- ii) **Filing a Complaint:** After registering, investors can file their complaints with all relevant details and supporting documents.
- iii) **Tracking Progress:** Investors can monitor the status of their complaints online, receiving updates on progress and resolution.
- iv) **Resolution Timeline:** SEBI mandates that all complaints registered on SCORES are addressed within a stipulated timeline, ensuring timely resolution of grievances.
- v) **Escalation:** If the grievance remains unresolved, the investor may be directed to alternative mechanisms, including the **Online Dispute Resolution (ODR) Portal**.

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c) SEBI INTERVENTION

If an investor escalates a grievance to SEBI through the SCORES platform, YSBFB will cooperate fully with SEBI to investigate and resolve the issue. SEBI may mandate corrective actions in cases of non-compliance or unresolved complaints.

7. MANAGER'S OBLIGATIONS

YSBFB, as the Sponsor and Investment Manager, is responsible for:

- a) Maintaining a log of all investor grievances, actions taken, and resolution timelines.
- b) Reporting unresolved grievances to SEBI within the stipulated timelines.
- c) Disclosing conflict management measures and grievance redressal procedures to investors in a transparent manner.
- d) Ensuring compliance with SEBI regulations and the Fund's policies in all grievance-handling activities.
- e) Ensuring that all grievances raised by investors are addressed promptly and effectively.
- f) Overseeing the grievance redressal mechanism to ensure compliance with SEBI regulations and alignment with the Fund's governing documents.

8. ARBITRATION AND DISPUTE RESOLUTION

In the event of unresolved disputes between investors, the Fund, or YSBFB, such disputes will be resolved through arbitration or other mutually agreed mechanisms as outlined in the Fund's governing documents. Arbitration proceedings will adhere to SEBI-approved standards and comply with applicable laws.

9. MONITORING AND REVIEW

YSBFB will periodically review the effectiveness of the grievance redressal mechanism, including the use of the SCORES and ODR portal, and make improvements as necessary. Annual reports on grievance redressal will be shared with the Fund's governance bodies and included in regulatory submissions as required.

