

## **Senfin Asset Management (Private) Ltd – Complaints Management Policy**

### **A. Objective of the Complaints Management Policy**

At Senfin Asset Management (Private) Ltd (“SFAM”), we value feedback on the level of services, processes, behaviour of staff etc. We will consider every complaint made by our client or Unit Holder (the Complainant), and either accept the complaint, whether wholly or partly, or recommend an escalation process if it is found not acceptable.

SFAM is built on the principle of intelligent investing through quality decisions based on thorough research and knowledge. SFAM also provides customized solutions to suit individual investment needs through its Wealth Management Services. Therefore, SFAM is committed to maintain its reputation for delivering high quality professional services while maintaining its transparency and responsiveness to the clientele.

Therefore, this Complaints Management Policy is outlined to provide guidance on manner in which complaints towards SFAM and its employees are received and handled.

The objective of this Policy is to resolve complaints from the customers in timely, efficient, effective, consistent and professional manner.

### **B. Mode of Complaints:**

Complaints are requested to be made in **writing**, and sent via fax, email, post or personal delivery.

a) **FAX No: 0112314831**

b) **EMAIL: [sfam.info@senfin.com](mailto:sfam.info@senfin.com)**

c) **POST:**

**Chief Executive Officer  
Senfin Asset Management (Private) Limited,  
3<sup>rd</sup> Floor, No 180 Bauddhaloka Mawatha,  
Colombo 04, Sri Lanka**

d) **IN PERSON: Chief Executive Officer – Senfin Asset Management (Private) Ltd or Registrar for the Funds**

### **C. Acknowledgement of Complaints**

Acknowledgement of receipt of complaint will be made within 24 working hours.

#### **D. Resolution Period**

Complaints will be resolved at the first point of contact if possible. If the complaints cannot be resolved immediately, and if SFAM accepts the complaint, which will be resolved within seven (7) business days of SFAM's written response, or the complainant will be given an appropriate timeframe to resolve the complaints.

#### **E. Responsiveness**

The complaint will be handled in an efficient and effective manner. Complainants will be kept informed on the progress of their complaint throughout the complaint handling process.

#### **F. Escalation of Complaints**

In the event that the Complaint is not accepted by the Company either in part, or wholly, the complainant can direct the complaint to Trustee of the particular unit trust fund (in the case of unit trust funds – Please see the Key Investor Information Document (previously known as Explanatory Memorandum) for contact details of the Trustee or to Directors of SFAM (in the case of private wealth portfolios).

If a solution is not found by above means, the Complainant or SFAM can direct the complaint to Investor Complaints Unit within Securities and Exchange Commission of Sri Lanka.

#### **G. Complaints Recording**

All complaints will be recorded in a Complaints Register which will be maintained with the Registrar Department of SFAM . The record should include:

- Date of Complaint received;
- Complaint's name
- Nature of the complaint and the circumstances
- The date and conclusions of the decision taken relating to the complaint.

The records must be retained for a period of 6 years.

#### **H. Complaints Analysis**

The complaints received by the Company will be analyzed on a quarterly basis to identify the root causes of the complaints and to fix any recurring or systemic problems which can result in any potential legal and operational risks.

#### **I. Company Website**

This policy is published in the website (<http://www.senfinassetmanagement.com>) of the Company in order for the clients of the Company to easily access the policy.

The Complaint Policy was endorsed by the Board on 30<sup>th</sup> June 2022