

NOTICE CUM ADDENDUM No. 2/2023

Notice-cum-addendum to the Statement of Additional Information (SAI) of Helios Mutual Fund (“the Fund”)

Investors are requested to note that following provisions stand included under Section V. Tax, Legal and General Information, C. General Information, 16. Investor Grievances Redressal Mechanism:

Introduction of Online Resolution of Disputes

Pursuant to SEBI Master Circular no. SEBI/HO/OIAE/OIAE_IAD-1/P/CIR/2023/145 dated August 11, 2023, a common Online Dispute Resolution (“ODR”) Portal has been introduced. The ODR Portal allows investors with additional mechanism to resolve the complaints/disputes through online conciliation and online arbitration for resolution of disputes arising in the Indian Securities Market. Investors can register complaints/disputes against all Market Participants for resolution on the Online Dispute Resolution (“ODR”) Portal i.e. <https://smartodr.in/login>.

For the purpose of aforesaid SEBI circular, Helios Capital Asset Management (India) Private Limited (“the AMC”) comes under the ambit of specified intermediaries / regulated entity of the securities market, referred to as “Market Participant” and accordingly, the AMC has enrolled itself on the ODR Portal. In this regard, investors are requested to note the following:

1. An investor shall first take up his/her/their grievance with the AMC by lodging a complaint directly with the AMC. If the grievance is not redressed satisfactorily, the investor may, in accordance with the SCORES guidelines, escalate the same through the SCORES Portal in accordance with the process laid out therein. After exhausting these options for resolution of the grievance, if the investor is still not satisfied with the outcome, he/she/they can initiate dispute resolution through the ODR Portal.
2. Alternatively, the investor can initiate dispute resolution through the ODR Portal if the grievance lodged with the AMC was not satisfactorily resolved or at any stage of the subsequent escalations mentioned in the paragraph 1 above (prior to or at the end of such escalation/s). The AMC may also initiate dispute resolution through the ODR Portal after having given due notice of at least 15 calendar days to the investor for resolution of the dispute which has not been satisfactorily resolved between them.
3. Disputes between Investors and the AMC (including for any complaints/disputes arising on account of Mutual Fund Distributors of the Fund / AMC) arising out of latter’s activities in the securities market, will be resolved in accordance with the aforesaid circular and by harnessing online conciliation and/or online arbitration as specified in the aforesaid circular. The AMC or the investors (or holders on account of nominations or transmission being given effect to) may also refer any unresolved issue of any service requests / service-related complaints for due resolution by harnessing online conciliation and/or online arbitration as specified in the aforesaid circular.
4. The dispute resolution through the ODR Portal can be initiated when the complaint/dispute is not under consideration in terms of the paragraph 1 above or SCORES guidelines as applicable or not pending before any arbitral process, court, tribunal or consumer forum or are non-arbitrable in terms of Indian law. The dispute resolution through the ODR Portal can be initiated when within the applicable law of limitation (reckoned from the date when the issue arose/occurred that has resulted in the complaint/date of the last transaction or the date of disputed transaction, whichever is later).
5. The ODR Portal has necessary features and facilities to, inter alia, enrol the investors and the AMC, to file the complaint/dispute and to upload any documents or papers pertaining thereto. The ODR Institution that receives the reference of the complaint/dispute shall appoint a sole independent and neutral conciliator from its panel of conciliators. Investors are requested to refer to aforesaid SEBI circular for details on conciliation and arbitration proceedings and associated fees and charges. The said circulars along with the link to ODR portal are also made available on our website (www.heliosmf.in).

This Notice-cum-Addendum forms an integral part of SAI of the Fund, as amended from time to time. All other terms and conditions except as mentioned above, of the Fund remain unchanged.

For Helios Capital Asset Management (India) Private Limited
(Investment Manager to Helios Mutual Fund)

Sd/-
Authorised Signatory

Date: November 15, 2023
Place: Mumbai

Mutual Fund investments are subject to market risks, read all scheme related documents carefully.