



## **Zerodha Fund House**

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# **Zerodha Asset Management Private Limited**

## **Investor Engagement Policy**

<b>Policy Version Matrix</b>	
<b>Policy Owner</b>	Legal & Compliance Department
<b>Policy Administrator</b>	Legal & Compliance Department
<b>Policy Adherence by</b>	IRO, Customer Executives
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<b>Reviewed and recommended by</b>	The Board of Directors of Zerodha Asset Management Private Limited and Zerodha Trustee Private Limited.
<b>Propriety</b>	This document is the sole property of Zerodha Asset Management Private Limited ("ZAMC"). Any use or duplication of this document without permission is strictly prohibited and illegal.
<b>Periodic Review</b>	The Policy will be reviewed as needed/ required by the Board of Directors of Zerodha Asset Management Private Limited and Zerodha Trustee Private Limited.

## Investor Engagement Policy

The Investor Engagement Policy (“Policy”) is established to manage the way of engagement with existing/ potential investors investing in schemes of Zerodha Mutual Fund (“Zerodha MF”) for which Zerodha Asset Management Private Limited (“Zerodha AMC”) is an Asset Management Company. These requirements mentioned herein are applicable to all existing investors/ potential investors investing in schemes of Zerodha MF across all platforms. The aim of this Policy is to set forth clear guidelines and consequences for existing investors/potential investors who engage in conduct that violates the norms of this Policy. The behaviour of the existing investors/ potential investors should not result in harassment, discrimination and other forms of inappropriate behaviour towards Zerodha MF and Zerodha AMC which shall not impact the interest of the existing investors of the schemes of Zerodha Mutual Fund.

Existing Investors/Potential Investors should adhere to the highest standards of conduct when interacting with Zerodha AMC employees, officers, etc. The actions enumerated below (“Instances”) shall be in breach of this Policy:

1. ***Harassment*** - Any improper and unwelcome conduct of the existing investor/potential investor that might reasonably be expected or be perceived to cause offence or humiliation to another person shall be termed as harassment. Harassment in any form i.e., through words, gestures or actions which tend to annoy, alarm, abuse, demean, intimidate, belittle, humiliate or embarrass any employee of Zerodha AMC. Further, AMC reserves the right to choose and not to address such investor’s behaviour and/ or demands.
2. ***Discrimination*** - Any unfair treatment or arbitrary distinction of the employees of Zerodha AMC made by the investor/proposed investor based on the employee’s race, caste, sex, religion, nationality, ethnic origin, sexual orientation, disability, age, language, social origin or other status.
3. ***Inappropriate communication*** - Any use of offensive language, excessive or inappropriate criticism, or any communication that is demeaning or disrespectful. If any investor/proposed investor spams emails or repeatedly calls or contacts representatives of Zerodha AMC, the same shall also be termed as inappropriate communication. All existing investors/potential investors can expect response from the customer care or employees of Zerodha AMC only during the working hours.
4. ***Threatening behaviour*** - Any behaviour of the existing investor/potential investor that implies harm or intimidation towards an employee of Zerodha AMC shall be termed as threatening behaviour. Use of foul language and giving out threats shall be included under this Instance.
5. ***Unreasonable demands*** -If the Investor demands are unreasonable or impractical and continuing.

It is anticipated that existing investors/potential investors will provide truthful and accurate information, comply with all relevant laws of India, respect the confidentiality of information shared by Zerodha AMC, and act with integrity, avoiding any actions that could be perceived as deceitful or unethical. This mutual understanding will help maintain a respectful and effective working relationship.

In the event if the existing/potential investors are involved in the aforesaid instances while interacting with Zerodha AMC employees/officers in that case Zerodha AMC reserves the right to take appropriate actions against the existing/potential investors.

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