



## **Disclosure & Disclaimers to clients**

Buoyant Capital Investment Advisers (is a division of Buoyant Capital Private Limited) provides Investment Advisory Services under the brand Buoyant.

Type of Registration - Non-Individual

SEBI Registration no. INA000016995

Validity of Registration: – 13<sup>th</sup> June 2022- Perpetual

BSE IA Enlistment Number (BASL membership ID)-1844

Corporate Identification Number (CIN): U65990MH2014PTC253187

Registered Office Address: Buoyant Capital Private Limited, B-3501, Kohinoor Square, N. C. Kelkar Marg, R. G. Gadkari Chowk, Shivaji Park, Dadar West, Mumbai-400028

Contact: +91 22 6931 9999

### **Details of Principal Officer**

Mr. Dipen Kumar Sheth

Phone: +91 22 6931 9994

E-mail: [dipen@buoyantcap.com](mailto:dipen@buoyantcap.com)

### **Details of Compliance Officer/Grievance Redressal Officer**

Ms. Mayuri Jangid

Phone: +91 22 6931 9912

E-mail: [mayuri.jangid@buoyantcap.com](mailto:mayuri.jangid@buoyantcap.com)

SEBI Head Office: SEBI Bhavan, Plot No. C-4 A, G Block, Bandra Kurla Complex, Bandra East, Mumbai 400 051

**Disclaimer:** Investment in securities market are subject to market risks. Read all related documents carefully before investing.

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.



### **Redressal of client grievances**

For any grievances,

The client should first contact the IA using the details on its website or following contact details:

Details of designation	Contact Person Name	Address where the physical address location	Contact No.	Email-ID	Working hours when complainant can call
Customer Care	Ms. Urja Tiwari	Office No. B-3501, B-Wing, Kohinoor Square N.C. Kelkar Marg, R.G. Gadkari Chowk, Shivaji Park, Dadar (West) Mumbai - 400028	+91 22-69319940	<a href="mailto:urja.tiwari@buoyantcap.com">urja.tiwari@buoyantcap.com</a>	09:00am to 05:00pm
Head of Customer Care	Mr. Harsh Shah	Office No. B-3501, B-Wing, Kohinoor Square N.C. Kelkar Marg, R.G. Gadkari Chowk, Shivaji Park, Dadar (West) Mumbai - 400028	+91 22-69319937	<a href="mailto:harsh.shah@buoyantcap.com">harsh.shah@buoyantcap.com</a>	09:00am to 05:00pm
Compliance Officer	Ms. Mayuri Jangid	Office No. B-3501, B-Wing, Kohinoor Square N.C. Kelkar Marg, R.G. Gadkari Chowk, Shivaji Park, Dadar (West) Mumbai - 400028	+91 22-69319912	<a href="mailto:mayuri.jangid@buoyantcap.com">mayuri.jangid@buoyantcap.com</a>	09:00am to 05:00pm
CEO	NA	NA	NA	NA	NA
Principal Officer	Mr. Dipen Kumar Sheth	Office No. B-3501, B-Wing, Kohinoor Square N.C. Kelkar Marg, R.G. Gadkari Chowk, Shivaji Park, Dadar (West) Mumbai - 400028	+91 22-69319994	<a href="mailto:dipen@buoyantcap.com">dipen@buoyantcap.com</a>	09:00am to 05:00pm

It is mandatory for the Client having grievance to take up the matter directly with the Investment Adviser. The Investment Adviser shall redress the grievance within 21 (Twenty-one) calendar days from the date of receipt of the complaint. In case the Client is still not satisfied with the response, grievance can be lodged with SEBI at <https://scores.gov.in/scores/Welcome.html> or one may also write to any of the offices of SEBI or contact SEBI Office on Toll Free Helpline at [1800 266 7575/1800 22 7575](tel:18002667575). The complaint shall be lodged on SCORES 2.0 within one year from the date of cause of action, where,

- The complainant has approached Buoyant, for redressal of the complaint and,
- Buoyant has rejected the complaint or,
- The complainant has not received any communication from Buoyant or,
- The complainant is not satisfied with the reply received or the redressal action taken by Buoyant.

SCORES 2.0 may be accessed through SCORES 2.0 mobile application as well, same can be downloaded from below link:

<https://play.google.com/store/apps/details?id=com.ionicframework.sebi236330>  
<https://apps.apple.com/in/app/sebiscores/id1493257302>



If the Client is not satisfied with the extent of redressal of grievance by the Investment Adviser, there is a one-time option for “Compliant review Facility” of the extent of the redressal, which can be exercised within 15 days from the date of closure of the complaint on SCORES 2.0. Thereafter, the complaint shall be escalated to the supervising official of the dealing officer of SEBI.

After exhausting all the aforementioned options for resolution, if the client(s) is still not satisfied, they can initiate dispute resolution through the Online Dispute Resolution Portal (‘ODR Portal’) at <https://smartodr.in/login>.

Alternatively, the client(s) can also directly initiate dispute resolution through the ODR Portal if the grievance lodged with the Investment Adviser is not satisfactorily resolved at any stage of the subsequent escalations mentioned above.

The dispute resolution through the ODR Portal can be initiated when the complaint/dispute is not under consideration in SCORES guidelines or not pending before any arbitral process, court, tribunal or consumer forum or are non-arbitrable in terms of Indian law.

The process on Online Dispute Resolution Mechanism is available at [Our Disclosures – Buoyant Capital](#).

#### Annual Audit

Sr. No.	Financial Year	Compliance Audit Status	Remarks, if any
1	FY 2022-23	Conducted within the Regulatory Timelines	Nil
2	FY 2023-24	Conducted within the Regulatory Timelines	Nil
3	FY 2024-25	Will be conducted within the Regulatory Timelines	NA

#### Other Disclosures

- We are not affiliated with any other intermediaries, nor do receive any brokerage or commission from any third party.
- No penalties/directions have been issued by the SEBI under the SEBI Act or any other regulatory body.
- We do not recommend any stockbroker or other intermediary to a client. Nor do we receive any consideration by way of remuneration or compensation or in any other form whatsoever from a stockbroker or other intermediary.
- Investments in debt instruments are subject to reinvestment risks as interest rates prevailing on interest amount or maturity due dates may differ from the original coupon of the bond, which might result in the proceeds being invested at a lower rate.
- If client wants opinion in the specific positions made by him only, we will be able to suggest appropriate view on the securities. Such suggestion/view under any circumstances shall be considered as an opinion (not advice) from our side and we advise the client to consider our opinion and not consultancy to make his/her final decision. We are not liable for any losses whatsoever our client may incur in accepting this opinion.
- Investment Adviser, its directors, associates, and employees might have positions or might have recommended to clients which might be in-line with the recommendations made here. Investment Adviser or their family members may or may not trade or may have investments in the same recommendations.
- The names of the products/nature of investments do not in any manner indicate their prospects or returns. The performance of equity products may be adversely affected by the performance of individual companies, changes in the marketplace and industry specific and macro-economic factors.
- We do not have any association in any manner with any issuer of products/ securities, this ensures that there are no actual or potential conflicts of interest. This also ensures that objectivity or independence in the carrying on of investment advisory services is not compromised.



- Investment in the market is subject to market risk, though the best attempts are made to predict markets, but no surety of return or accuracy of any kind is guaranteed.
- The information on the website is updated from time to time. Buoyant Capital Private Limited however excludes any warranties (whether expressed or implied), as to the quality, consistency, efficacy, completeness, performance, fitness, or any of the contents of the website.
- Client is always advised to read, understand, and agree to terms & conditions & disclaimer of service.
- We do not guarantee any profit/return.
- The performance of the investments/products may be affected by changes in Government policies, general levels of interest rates and risks associated with trading volumes, liquidity and settlement systems in equity and debt markets.
- We do not provide any profit/loss sharing services, guaranteed profit services and Demat services.

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