



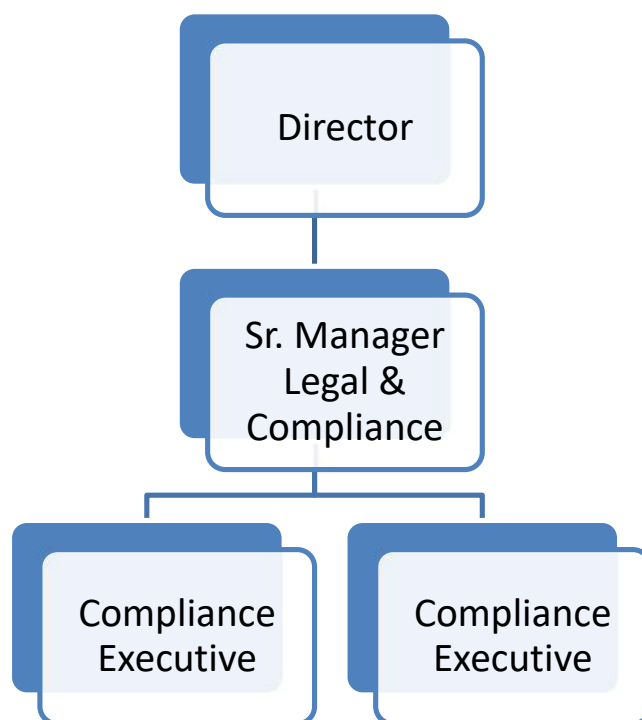
## **INVESTOR COMPLAINT REDRESSAL MECHANISM**

### **INTRODUCTION:**

We Wealthstreet Financial Services Private Limited are registered Stock broker of National Stock Exchange Limited, Bombay Stock Exchange Limited and Multi Commodity Exchange of India Limited. Wealthstreet Financial Services Private Limited also acts in the capacity of AMFI Registered Mutual Fund distributor ARN – 118251. Company is having its registered office at A-1101, Mondeal Heights, Opp Sarkhej- Gandhinagar highway Ahmedabad – 380015.

### **HIERARCHY:**

Investor complaints are looked after by legal and compliance department of company. Below is the hierarchy of Legal and Compliance Department who are looking after investor complaint:



### **Wealthstreet Financial Services Private Limited**

(Formerly known as Wealthstreet Advisors Private Limited)

**CIN : U74999GJ2016PTC094432**

**Regd. Off :** A-1101, Mondeal Heights, 11th Floor, Besides Wide Angle, S.G Highway, Ahmedabad-380015

**P :** +91 79 66775500 • **E :** info@wealthstreet.in • **W :** www.wealthstreet.in



## **PROCESS FLOW OF COMPLAINT MECHANISM:**

### **At Head Office Level:**

1. The company has a designated investor grievances email id [grievance@wealthstreet.in](mailto:grievance@wealthstreet.in) on which the client or investor can make a complaint.
2. Complaint will be received from client either through email or letter at head office.
3. Upon receipt of such complaint the same is entered into complaint register maintained at head office.
4. Sr. Manager and Compliance officer verifies the registered complaint on daily basis and the same is reviewed by top management on weekly basis.
5. If any complaint received, same is overlooked by head of department and he transfers the same to their team member.
6. Thereafter executive of legal compliance department starts compiling required data and the same is forwarded to Sr. Manager or Manager for verification, analyzation and drafting of reply to the complaint.
7. Any complaint received will be resolved within a period of 15 working days.
8. In case complaint not resolved in 15 working days then same is treated on serious note and top management will take daily follow-up with senior manager and manager of department.
9. There is standing policy of the company to resolve the investor complaint within 15 working days of the receipt of the same except some for complicated cases, if any.

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**At Branch Office Level:**

1. Investor Grievance details are displayed on the board at branch office in legible fonts.
2. Complaint will be received from client either through email or letter at branch office.
3. Upon receipt of such complaint the same is entered into complaint register maintained at branch office.
4. Branch Manager verifies the registered complaint on daily basis and the same is reviewed by Sr. Manager and Compliance officer on weekly basis.
5. If any complaint received, same is overlooked by branch head and will transfer the same to their team member.
6. Thereafter team at branch level starts compiling required data and forward the same to Branch Manager for verification, analyzing and drafting of reply to the complaint.
7. Any complaint received will be resolved within a period of 15 working days.
8. In case complaint not resolved in 15 working days then the same is treated on serious note and top management will take daily follow-up with senior manager and manager of department.
9. There is standing policy of the company to resolve the investor complaint within 15 working days of the receipt of the same except for some complicated cases, if any.

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