



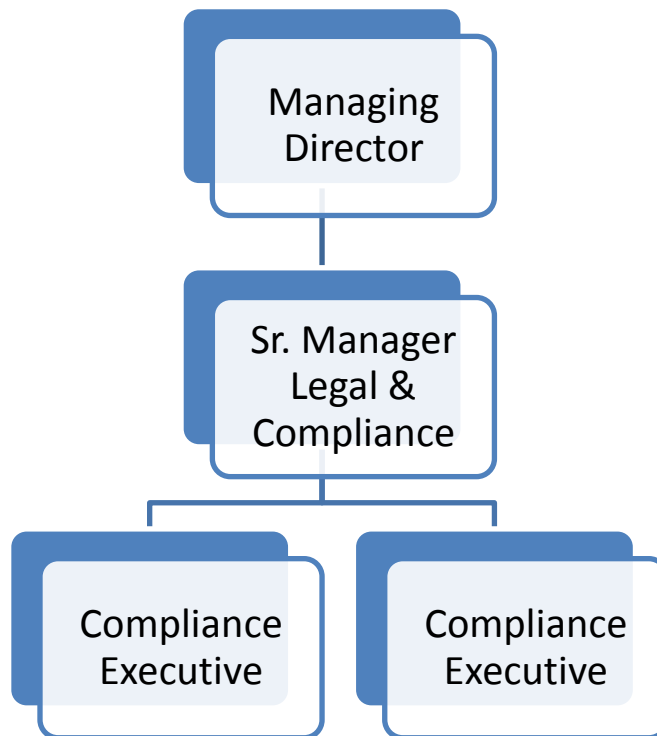
INVESTOR COMPLAINT REDRESSAL MECHANISM

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. Company is having its registered office at A-1101, Mondeal Heights, Opp Sarkhej-Gandhinagar highway Ahmedabad – 380015.

HIERARCHY:

Investor complaints were looking after by legal and compliance department of company. Below is the hierarchy of Legal and Compliance Department who were 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 on which the client or investor can make a complaint.
2. Complaints were received from client either through email or letter at head office.
3. Upon receipt of such complaint same were entered into complaint registered maintained at head office.
4. Sr. Manager and Compliance officer used to verify the complaint registered on daily basis and reviewed by top management on weekly basis.
5. If any complaint received, same will be overlooked by head of department and will transfer the same to their team member.
6. Thereafter executive of legal compliance department will start compiling required data and forward the same to Sr. Manager or Manager for verification, analyzing and drafting of reply to complaint.
7. Any complaint received will have to be resolved within a period of 15 working days.
8. In case complaint not resolved in 15 working days then same will be 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 complicated cases, if any.

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At Branch Office Level:

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

There is standing policy of the company to resolve the investor complaint within 15 working days of the receipt of the same except some complicated cases, if any.

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