

Order Receipt & Execution Policy

I. Introduction

Wealthstreet Financial Services (“the Company”) is a registered intermediary under the Securities and Exchange Board of India (SEBI) and is also a member of Multi Commodity Exchange of India (MCX), Bombay Stock Exchange (BSE), and National Stock Exchange of India (NSE). The Company adheres to the rules, byelaws, and regulations set forth by SEBI and the respective exchanges, ensuring that all client transactions are processed within the established legal framework. The Company has implemented comprehensive procedures to ensure that client transactions are executed efficiently, securely, and in compliance with the regulations. This includes maintaining proper documentation, verification of clients, and ensuring a robust audit trail for every transaction.

II. Client Account Opening Process:

1. Fictitious or Benami Accounts:

Wealthstreet Financial Services strictly prohibits the opening of accounts in fictitious, benami names, or on an anonymous basis. All client identities must be verified with accurate and sufficient documentation before the account is activated.

2. Risk Perception & Client Categorization:

The Company conducts a thorough risk assessment for each client based on factors such as:

- Registered and correspondence addresses
- Nature of business activity
- Trading turnover
- Transaction and payment methods

Based on these risk factors, clients are categorized into low, medium, or high-risk groups. Clients belonging to special categories may be classified under higher-risk groups and are subject to enhanced due diligence and regular updates to their Know Your Client (KYC) profiles.

3. Documentation & Information Collection:

The Company collects necessary documentation in accordance with the Prevention of Money Laundering (PML) Rules and SEBI directives. The documentation varies depending on the client’s risk profile, and it is retained as part of the client’s KYC records.

4. Client Due Diligence & KYC Policies:

In situations where the Company is unable to apply proper due diligence or KYC procedures (e.g., if the client’s identity cannot be verified, or the provided information is suspected to be non-genuine), the account will not be opened. The Company will also file a Suspicious

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Activity Report (SAR) if suspicious activity is identified and may freeze or close the account as necessary.

5. Verification of Authority for Representation:

If a client operates on behalf of another person or entity, the following procedures will be applied:

- Clear definitions of how the account will be operated, including transaction limits and authority requirements for larger transactions.
- Thorough verification of the representative's authority to act on behalf of the client, ensuring that both parties' rights and responsibilities are clearly laid out.

6. Criminal Background & Enforcement Verification:

The Company conducts necessary background checks to ensure that neither the client nor their representative has a criminal background, or is banned by any enforcement agency, either in India or globally.

III. Order Receipt Process:

1. Dealer-Client Interaction:

Clients are assigned dedicated dealers at Wealthstreet Financial Services. These dealers are responsible for understanding their clients' investment strategies and risk preferences, which allows them to serve clients effectively and efficiently. Orders are executed in the respective client codes, ensuring accuracy in the transaction process.

2. Order Execution Confirmation:

Once an order is placed, the dealer promptly executes the trade and confirms the order details with the client. The confirmation is made through a call via a recorded line, ensuring clear communication and transparency. Only registered clients are authorized to place orders in the dealing room.

IV. Mechanism for Order Management & Execution:

1. Client Group Allocation:

Clients are grouped and allocated to dealers at the head office level. This enables the dealer to build a detailed understanding of each client's investment strategy, enabling tailored advice and services.

2. Order Entry & Execution:

Upon receiving an order, dealers immediately enter the details into the system for execution. The Company employs a Voice Logger System to capture all placed, modified, and canceled orders, which ensures transparency and accountability in the order management process.

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3. **Trade Confirmation & Reporting:**

After executing an order, the dealer confirms the trade with the client to ensure all aspects of the trade are correct. At the end of the trading day, clients are sent a confirmation SMS detailing the trades executed, including the instrument, quantity, and price. This message is sent to the registered mobile number provided by the client.

4. **Client Communication:**

The dealer ensures that clients are updated on the execution status of their orders by the end of each trading day. This confirmation process is crucial for maintaining transparency and addressing any client concerns or discrepancies regarding their trades.

V. Conclusion

Wealthstreet Financial Services strives to provide a reliable, transparent, and secure trading environment for its clients. By adhering to regulatory guidelines set by SEBI, MCX, BSE, and NSE, the Company ensures that all orders are processed with accuracy, and client transactions are managed with the highest level of integrity. The Company's order receipt and execution mechanisms are designed to foster trust and reliability while offering personalized services to meet each client's specific needs.

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