

## **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. Complaints can be received from client either through email or letter at head office.
3. Upon receipt of such complaint same will be 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 3 working days.
8. In case complaint not resolved in 3 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 7 working days of the receipt of the same except some complicated cases, if any.

### **AT BRANCH OFFICE LEVEL:**

1. Investor Grievance details were displayed on the board at branch office in legible fonts.
2. Complaints can be received from client either through email or letter at branch office.
3. Upon receipt of such complaint same will be entered into complaint registered maintained at branch 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 branch head and will transfer the same to their team member at Head Office.
6. Thereafter team at Head office 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 3 working days.
8. In case complaint not resolved in 3 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 7 working days of the receipt of the same except some complicated cases, if any.