

WEALTHSTREET FINANCIAL SERVICES PRIVATE LIMITED

INVESTOR GRIEVANCE POLICY

Policy Version	2.0
Effective Date	31.03.2026
Review Frequency	Annually or upon regulatory change
First Approval	Internal Auditor
Final Approval	Board of Directors / Internal Committee

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

1. INTRODUCTION

Wealthstreet Financial Services Private Limited (“the Company”) is a registered stock broker with National Stock Exchange of India Limited, BSE Limited and Multi Commodity Exchange of India Limited.

The Company is committed to ensuring prompt, fair, and transparent redressal of investor grievances in accordance with the regulatory framework prescribed by Securities and Exchange Board of India and the respective Exchanges.

2. OBJECTIVE AND SCOPE

This Policy establishes a structured mechanism for handling investor grievances relating to trading, demat, funds, margin, and other services provided by the Company.

Only complaints representing deficiency in service shall be treated as grievances under this Policy. Routine service requests shall be handled separately through operational channels.

3. MODE OF LODGING COMPLAINT

Investors may lodge complaints through the following channels:

Mode	Details
Email	grievance@wealthstreet.in
Registered / Branch Office	Written complaint submission
Regulatory Platforms	SCORES / Exchanges / ODR

4. COMPLAINT HANDLING MECHANISM

Particulars	Description
Complaint Logging	All complaints are recorded in a centralized system / controlled register with a unique reference number
Acknowledgement	Provided within 24–48 hours of receipt
Processing Authority	Legal & Compliance Department under supervision of Compliance Officer
Internal Resolution Timeline	Within 3 working days
Regulatory Timeline	Within 30 days (as prescribed by SEBI)
Branch Handling	Complaints received at branch level are escalated to Head Office for centralized monitoring

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5. INVESTOR GRIEVANCE ESCALATION MATRIX

In case the complaint is not resolved satisfactorily, investors may escalate the matter through the following levels:

Escalation Levels and Contact Details

Escalation Level	Details	Contact Person	Contact Number	Email ID
1st Escalation	Customer Care	Ms. Srusti Jani	079-66775577	helpdesk@wealthstreet.in
2nd Escalation	Head – Customer Care	Ms. Dhyani Halani	079-66775567	grievance@wealthstreet.in
3rd Escalation	Compliance Officer	Mr. Suren Pandya	079-66775571	compliance@wealthstreet.in
4th Escalation	Chief Executive Officer	Mr. Ajay Saraogi	079-66775500	headcxo@wealthstreet.in

Working Hours

Monday to Friday – 9:00 AM to 6:00 PM

Registered Office

A-1101, Mondeal Heights, Opp. S.G. Highway, Ahmedabad – 380015

6. REGULATORY ESCALATION

If the complaint remains unresolved or the investor is not satisfied with the response, the investor may approach:

- SCORES
- National Stock Exchange of India Limited
- BSE Limited
- Multi Commodity Exchange of India Limited
- SEBI Online Dispute Resolution (ODR) platform
- Central Depository Services Limited

Investors are required to quote the complaint reference number in all future correspondence and while approaching regulatory authorities.

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7. HANDLING OF CRITICAL COMPLAINTS

Type of Complaint	Treatment
Unauthorized Trades	Immediate escalation to Compliance Officer
Misuse of Funds/Securities	Priority handling and investigation
Fraud / Regulatory Issues	Escalation to Senior Management and reporting to authorities

8. MONITORING AND RECORD KEEPING

Particulars	Description
Record Maintenance	All complaints recorded with full details and action taken
Retention Period	Minimum 8 years
Monitoring	Periodic review, aging analysis, and reporting to management
Audit Trail	Complete tracking from receipt to closure

9. INVESTOR AWARENESS

Investor grievance details, escalation matrix, and contact details are displayed at all offices and made available through appropriate communication channels to ensure transparency and ease of access. Investors are encouraged to promptly report grievances for timely resolution.

10. CLOSURE OF COMPLAINT

A complaint shall be treated as resolved when:

- A response has been provided addressing the grievance, and
- The investor confirms satisfaction, or
- No response is received within a reasonable period after resolution

11. POLICY REVIEW

This Policy shall be reviewed annually or upon any regulatory change and approved by the Board of Directors or designated authority.

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