Palette Wealth Management Private Limited

Investor Grievance Policy

1. Preamble and Commitment

This policy outlines the formal process for handling and resolving investor grievances in a fair, transparent, and timely manner. As an individual proprietor and a SEBI-registered Research Analyst, we are personally committed to upholding the highest standards of service and ensuring that all client complaints are addressed with the utmost seriousness. This policy is aligned with the Securities and Exchange Board of India (Research Analyst) Regulations, 2014, and is designed to build and maintain trust with all my clients.

2. Policy Objectives

- To ensure every client grievance is acknowledged and addressed promptly and with courtesy.
- To establish a clear, structured, and time-bound process for handling all complaints.
- To maintain complete transparency in the grievance redressal mechanism.
- To comply with all regulatory requirements set forth by SEBI

3. Grievance Redressal Mechanism

3.1 Lodging a Complaint

Investors can lodge a complaint through any of the following channels:

- **Email:** By sending an email to the designated grievance officer at compliance@palettewealth.com
- **Physical Mail: By sending a written letter to our registered office address:** Palette Wealth Management Pvt Ltd 3006, The Executive Centre, Unit 301, Level 3, Ascent, S K Ahire Road, Worli, Mumbai - 400025, Maharashtra, India.
- **Website:** Through the designated "Contact Us" section on our website at www.palettewealth.com

All complaints must include the client's name, contact details, a detailed description of the grievance, and any supporting documents.

3.2 Acknowledgment and Resolution

Upon receiving a complaint, we will provide a written acknowledgment within 3 business days. The acknowledgment will include a unique complaint reference number, which the client can use to track the status of their complaint.

We will then conduct a thorough investigation into the matter and aim to provide a final resolution within 21 calendar days from the date the complaint was received. A final response detailing the resolution and the steps taken will be communicated to the client via their preferred contact method

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4. Escalation Matrix

If a client is not satisfied with the resolution provided, they can escalate their complaint to the

Designation	Contact Person Name	Address, Contact Number & Email ID	Working Hrs
Customer Care	Prajyot Ranadive	3006, The Executive Centre, Unit 301, Level 3, Ascent, S K Ahire Road, Worli, Mumbai - 400025, Maharashtra, India. +91 22 6961 9239 compliance@palettewealth.com	10:00 am to 6:00 pm
Head of Customer Care	Devanshi Todi	3006, The Executive Centre, Unit 301, Level 3, Ascent, S K Ahire Road, Worli, Mumbai - 400025, Maharashtra, India. +91 22 6961 9239 devanshi@palettewealth.com	
Compliance Officer	Vaishali Sukthankar	3006, The Executive Centre, Unit 301, Level 3, Ascent, S K Ahire Road, Worli, Mumbai - 400025, Maharashtra, India. +91 22 6961 9239 compliance@palettewealth.com	
CEO	Kuldeep Sikarwar	3006, The Executive Centre, Unit 301, Level 3, Ascent, S K Ahire Road, Worli, Mumbai - 400025, Maharashtra, India. +91 22 6961 9239 kuldeep@palettewealth.com	
Principal Officer	Devanshi Todi	3006, The Executive Centre, Unit 301, Level 3, Ascent, S K Ahire Road, Worli, Mumbai - 400025, Maharashtra, India. +91 22 6961 9239 devanshi@palettewealth.com	

Filing a Complaint with SEBI

If a client remains dissatisfied after exhausting all internal escalation channels, they have the right to lodge a complaint with SEBI on its centralized **SEBI Complaints Redress System (SCORES)** portal.

SEBI Registration Number: INH000021669

We are required to address and respond to all complaints lodged through this platform. While we encourage clients to use our internal mechanism first for a faster resolution, clients are always free to use the SCORES platform

5. Confidentiality and Record Keeping

All information pertaining to a client's complaint will be treated as strictly confidential and will be used solely for the purpose of resolving the grievance. A secure record of all complaints, including their details, a summary of the investigation, and the final resolution, will be maintained for a period of five years, in accordance with SEBI regulations.