

# **SWS Financial Solutions Private Limited**

SEBI Registered Investment Advisers Registration No. INA000004914

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## **Grievance Redressal Process**

We believe that Investor service is a vital element for sustained business growth and we want to ensure that our Investors receive exemplary service across different touch points. Prompt and efficient service is essential for retaining existing relationships and therefore Investor satisfaction becomes critical to us, especially since we follow the Direct-to-Investor model. Investor queries and complaints constitute an important voice of Investor, and this policy details grievance handling through a structured grievance redressal framework. Grievance redressal is supported by a review mechanism, to minimize the recurrence of similar issues in future.

The Grievance Redressal policy follows the following principles:

- Investors will be treated fairly at all times
- Complaints raised by Investors will be dealt with courtesy and in a timely manner
- Queries and Complaints will be treated efficiently and fairly.

The Investment advisor and employees work in good faith and without prejudice, towards the interests of the Investors.

The Investment Advisor has a dedicated Client Servicing Team which is responsible for timely and prompt communication with our clients, while having an open attitude towards service recovery, and providing alternate solutions to investors, thus ensuring healthy relationships with our clients. The Client Servicing Team is headed by Mr. Vikrant Rathod (vikrant@swsfspl.com).

## **Grievance Redressal Mechanism**

Client's queries / complaints may arise due to lack of understanding or a deficiency of service experienced by clients. Deficiency of service may include lack of explanation, clarifications, understanding which escalates into shortfalls in the expected delivery standards, either due to inadequacy of facilities available or through the attitude of staff towards client.

1. Clients can seek clarification to their query and are further entitled to make a complaint in writing, orally or telephonically. An email may be sent to the Client Servicing Team. Alternatively, the Investor may call on 0253-2579993
2. A letter may also be written with their query/complaint and posted at the below mentioned address:  
2<sup>nd</sup> Floor, Mandalik Pride, Near Hotel Curry Leaves, Jehan Circle, Gangapur Road, Nashik- 13

3. Clients can write to the CEO at [grievance@swsfspl.com](mailto:grievance@swsfspl.com) if the Investor does not receive a response within 10 business days of writing to the Client Servicing Team. The client can expect a reply within 10 business days of approaching the CEO.
4. In case you are not satisfied with our response you can lodge your grievance with SEBI at <http://scores.gov.in> or you may also write to any of the offices of SEBI. For any queries, feedback or assistance, please contact SEBI office on toll free Helpline at 1800 22 7575/ 1800 266 7575.

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**For,**  
**SWS Financial Solutions Private Limited**  
SEBI Registered Investment Advisers  
Registration No. INA000004914

<p style="text-align: center;"><b>SWS Financial Solutions Private Limited</b> SEBI Registered Investment Advisers Registration No. INA000004914 (Type of Registration- Non-Individual, Validity of Registration- Perpetual) Address: 3<sup>rd</sup> Floor, Mandalik Pride, Near Hotel Curry Leaves, Jehan Circle, Gangapur Road, Nashik- 13 Contact No: 0253 2579993, Email: <a href="mailto:deepak@swsfspl.com">deepak@swsfspl.com</a> SEBI regional/local office address - Plot No. C 4-A , G Block, Near Bank of India, Bandra Kurla Complex, Bandra East, Mumbai, Maharashtra 400051 Principal Officer: Mr. Deepak Kulkarni, Contact No: 0253 2579993, Email: <a href="mailto:deepak@swsfspl.com">deepak@swsfspl.com</a></p>
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