

# **CUSTOMER COMPLAINT ESCALATION POLICY**

This document provides guidance to customers to raise complaints and defines the escalation process for TrustPlutus Wealth Managers (India) Pvt Ltd across all its locations.

**Policy  
Handbook  
Section 1**



TrustPlutus Wealth Managers (India) Pvt Ltd values its customers above all and is proud of the way with which it conducts business for these customers. It has and will continue to uphold the highest levels of business ethics and personal integrity in all types of customer transactions and interactions.

However, if the customer is not satisfied with the service he/her has received or wishes to raise any complaint, the following document will provide a framework to do so and the guidelines on whom to approach in case of issues or complaints.

## I. INTRODUCTION

Given the nature of business and interactions with customers, family offices, product manufacturers, third party partners and our own employees, there may be instances where things do go wrong which can result in an informal or formal complaint.

We, TrustPlutus Wealth Managers (India) Pvt Ltd will ensure that:

- Complaints are dealt efficiently and properly investigated
- Complainants are treated with respect, confidentiality is maintained
- Timely and appropriate response is closed

Customers can share complaint / feedback through an email, phone call, note on the website or a letter as per the escalation matrix defined in this policy.

## II. OPERATING PROCEDURE

- Within one (1) business day of us receiving a customer complaint, we will send an acknowledgement letter by an email from the Head of Compliance confirming the name and contact information of the Investigation Committee handling the case.
- In conducting the investigation, the Head of Compliance may contact with the client or his authorized agent to request additional information, which may be required to resolve the complaint.
- Investigation Committee will commence its review and analysis of allegations raised by the complainant immediately.
- Within five (5) business days, complainant will be provided with our substantive response to the complaint or correspondence from us acknowledging that we may require additional time or information in order to complete our review.
- Our substantive response letter will provide an outline of the complaint and Investigation Committee's findings along with an action plan and recommendations.
- Complainant will also be provided with additional information regarding the options available to escalate the concerns further in the event of non-satisfaction with the outcome of this review.



### III. ESCALATION MATRIX

**Customer Complaint Escalation Matrix**

Escalation Levels	West (Mumbai)	West (Gujarat & Pune)	North	East	South		
<b>1st level</b>	Respective location Relationship Manager						
<b>2nd Level</b>	Business Head						
Name	<b>Mr Satwick Tandon</b>		<b>Mr Dipanjan Chowdhury</b>	<b>Mr Hitesh Teckwani</b>			
Email	<a href="mailto:satwick.tandon@trustplutus.com">satwick.tandon@trustplutus.com</a>		<a href="mailto:dipanjan.chowdhury@trustplutus.com">dipanjan.chowdhury@trustplutus.com</a>	<a href="mailto:hitesh.teckwani@trustplutus.com">hitesh.teckwani@trustplutus.com</a>			
<b>3rd Level</b>	Head of Compliance						
Name	<b>Mrs. Jyotsna Dudye</b>						
Email	<a href="mailto:jiyotsna.dudye@trustplutus.com">jiyotsna.dudye@trustplutus.com</a>						
<b>MD's Office</b>	<a href="mailto:md.office@trustplutus.com">md.office@trustplutus.com</a>   +91 22 62746000 Ext: 455						