

PROCESS OF FILING INVESTOR COMPLAINT

When clients encounter issues or concerns with their stock broker's services, it's important to have a clear and efficient procedure for filing complaints and tracking their progress. Here's a detailed write-up outlining the procedure, along with a flowchart for visual reference:

Step 1: Initiating the Complaint

Clients initiate the complaint resolution process by sending an email to us on our designated email address cdslgrievance@rohawellworth.com for complaints. This email address is specifically established to handle and address client grievances.

Step 2: Providing Relevant Information

In the email, clients should provide essential details:

- Full name, contact information, and client ID (if applicable).
- A clear and concise description of the complaint, including relevant dates and transaction details.
- Any supporting documents or evidence that can help in understanding the issue.

Step 3: Acknowledgment

Upon receiving the complaint email, we send an automated acknowledgment email to the client, confirming the receipt of the complaint. This acknowledgment provides the client with a reference number for future communication.

Step 4: Initial Review and Assigning

The complaint is then reviewed by the relevant department within the organization. Based on the nature of the complaint, it is assigned to the appropriate personnel for investigation.

Step 5: Investigation and Response

The assigned team investigates the complaint thoroughly, gathering all necessary information, records, and documents. They analyze the client's concerns in relation to our policies and practices.

Step 6: Providing Resolution

After a comprehensive analysis, they prepare a detailed response addressing the client's complaint. This response is sent to the client's email address.

Step 7: Amicable Resolution Attempted

If the client finds the resolution satisfactory, the complaint is considered resolved. The broker and client work together to ensure that the solution aligns with the client's expectations.

Step 8: Unsatisfactory Resolution

If the client remains unsatisfied with the broker's resolution, or if the issue is not fully addressed, the client may choose to escalate the complaint further.

Step 9: Providing Escalation Details

The client is provided with information about the escalation process. This includes instructions on how to escalate the complaint to a higher authority.

Step 10: Further Escalation

If the client decides to proceed with escalation, they follow the designated process to raise the complaint to a higher level within the organization.