



## **Pillars of Wall Street LLC Customer Complaint Policy**

### **Introduction**

This policy is based on the Treating Clients Fairly Standard of Pillars of Wall Street LLC.

### **1.1 Objective**

Objective of this policy is to set rules for uniform, properly and verifiable handling of client complaints.

### **1.2 Scope**

The Customer Complaints Policy applies to Pillars of Wall Street corporate and consumer clients.

### **1.3 Definitions**

#### *Complaint*

A written expression of dissatisfaction submitted by a client about a service provided by Pillars of Wall Street LLC in which Pillars of Wall Street LLC is accused of not performing the training service to adequate client standards

### **1.4 Rules for complaints handling**

1. Every Complaint of a Pillars of Wall Street LLC client will be reported to the co-founders of Pillars, Aalok Mody and Matthew Holaves
2. The co-founders along with Pillars of Wall Street support staff shall process and monitor the follow up on the Complaint. The co-founders shall inform outside counsel, Jerry Levine, Attorney at Law and an independent third party, in the event an outside third party is needed in the resolution of the complaint.
3. Within one week after receipt of the Complaint, Pillars of Wall Street shall send a confirmation of the receipt of the Complaint to the client.
4. A Complaint will be handled within four weeks of receipt unless this is not possible due to special circumstances. Meanwhile Pillars will keep the client informed.
5. Pillars of Wall Street maintains a log of every Complaint, including relevant documentation in its client management system. The Complaint file will be kept at least one year after the Complaint is settled.
6. The following data on the Complaint will be logged in the in the client management system:
  - a. Name and address of complaint
  - b. Date of receipt of the Complaint
  - c. Description of the Complaint
  - d. Possible financial impact
  - e. Resolution of issue
  - f. Response given to the client

7. The co-founders will report to each other and the Pillars of Wall Street support staff the resolution of each complaint. On a quarterly basis Pillars of Wall Street will prepare a report summary of Complaints received and the follow up on the Complaints to the Pillars Advisory Board.

8. If the Complaint will be rejected partially or fully, the client will be informed that, if applicable, he or she may submit the Complaint to a recognized dispute-settlement body or take the dispute to a civil court. The information to the client shall mention the relevant timelines used by the dispute settlement body.