ABC SECURITIES (PVT.) LTD (ABC)

CLIENTS COMPLAINT HANDLING POLICY

**INTRODUCTION PURPOSE & SCOPE**

ABC is required to develop internal procedures and policies to ensure complaints received from customers/clients are properly handled & addressed and to ensure that appropriate remedial action on those complaints is promptly taken.

In order to comply with the regulations and for effective client complaints handling mechanism the management of ABC is pleased to implement the following policies & procedures:

# AUTHORITY AND RESPONSIBILITY

The Company Secretary of ABC is responsible for handling all complaints of customers/clients. The name of the concerned person is disclosed on the website of ABC so the customers/clients of ABC can contact the Company Secretary for their grievances and complaints.

Company Secretary is responsible and authorized for periodic review and monitoring of client complaints handling mechanism, policy and procedures and if needed, suggest to the management for revision and updating.

# TIME DURATION FOR COMPLAINT MANAGEMENT

Company Secretary shall take all reasonable measures to redress customers/clients’ complaints and grievances promptly.

In case the complaint or query is received from Commission or the Securities Exchange or any other regulatory body, it shall be looked into immediately and should be resolved within the specified time.

# RECORD MAINTENANCE

Company Secretary shall maintain records regarding customers’ complaints and grievances and received from authorities along with redressed of such complaints and grievances.

# REPORTING REQUIREMENT

Company Secretary shall at the end of each quarter submit information about the number of customers’ complaints and grievances received and redressed along with those that are unresolved beyond specified time to the management along with the reason for the delay.

As required under the regulation, ABC will report all unresolved complaint(s) and grievance(s) that are not resolved within three months to the Securities Exchange along with the reasons thereof for the delay.

# COMPLAIN BOX

There should be a “Complain Box” at the main entrance of the office.