

COMPLAINT AND CONFLICT MANAGEMENT POLICY

ARN Securities Private Limited

ARN SECURITIES (PRIVATE) LIMITED

GOALS & OBJECTIVES

The objective of this policy is to ensure that all matters of customers' grievances (complaints and/or conflicts) are handled with due care and professionalism and as per the related and applicable rules and regulations

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Policy Statement

ARNSPL has a strict policy of having happy and satisfied customers through professional and speedy services and conflict / complaints resolution, as required by the applicable rules and regulations of PSX and SECP.

ARNSPL has a policy zero tolerance in the application and compliance with this policy document and this policy is applicable to all the functional areas of the organization

Modes of Complaint / Conflict Submission

ARNSPL customers will be given multiple options to register their complaints / conflict through multiple channels as follows:

1. Whats app
2. Email
3. Website – contact us

Once a complaint is registered, customer will receive an acknowledgment from ARNSPL systems automatically as a receipt of complaint.

Ticketing System

ARNSPL will have a ticketing system linked to the channels of complaint registration and once a complaint is registered the following actions will take place automatically by the ticketing system:

1. A unique identification number is assigned to the registered matter
2. An email notification will be sent to the Compliance Office, Directors Operations and CEO of the company

Ticketing system will have defined turnaround times for the following processes:

1. Fact finding
2. Conclusion and recommended course of action submission to the Senior Management
3. Management Decision
4. Decision Execution
5. Communication to the customer

In case of breach of any TAT, an escalation email be sent to the Director Operations and CEO

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Procedure

In case of any complaint by our client(s) whether his (their) complaint(s)/ grievance(s) are received through the web or in written form, the case will be reported to our Compliance Officer (CO). The Compliance Officer will verify the records like Telephone Recordings, Activity Logs, Trade Logs, SMS, Emails and any other record that he seems is appropriate and related to the case.

He will then report his findings to the Chief Executive Officer of the Company who will decide on the matter including seeking help from the Dispute Resolution and Arbitration Procedure of the Stock Exchange and/or Securities and Exchange Commission of Pakistan.

The issue will be handled / resolved by the Director Operations and the CEO, and the final decision conveyed to the client within 30 days of registration of the complaint.

Furthermore, a list will be compiled of the complaints and provided quarterly to the Board for their review and to the Stock Exchange as per its requirement.