



Dawood Equities Limited

Complain Handling and Customer Grievance Policy

Objective:

Dawood Equities Limited has a genuine concern for all Clients/stakeholders and is committed to providing them with a quality Services and training experience. The objective of our policy regarding complaints and disputes is to ensure that the concerns and complaints of participants are addressed justly and are resolved promptly.

Procedures:

Dawood Equities Limited is committed to resolving issues at the first point of contact whenever possible. Clients are encouraged to seek an informal resolution of their complaints/disputes directly with the Broker/dealer or other individual(s) involved. Most often a complaint can be resolved in this way. However, if an informal approach is neither successful nor advisable, the Client is advised to follow the following procedure.

Participants may file a formal written complaint to the Dawood Equities Limited by physical through complain box or by email through css@dawoodequities.com who will immediately to notify Compliance Officer who will inform committee for complaint/dispute resolution. The complaint should contain (at a minimum) the date and time of the alleged conflict or dispute, the reason(s) for the complaint, a summary of the complaint, a list of other persons who may provide information and any appropriate documentation and details of any steps already taken to resolve the complaint. The complainant must also include the resolution or outcome expected. The complaint must be submitted within ten (10) business days of the alleged conflict or action. Any personal information collected while working to resolve a complaint will be used solely for the purpose of resolving the complaint. Personal information will be protected from disclosure unless the participant consent to such disclosure. The complainant has the right to make inquiries about the current status of a complaint at any time by contacting the Dawood Equities Limited.

Arbitration:

Arbitration committee comprise on Chief Executive officer, Chief Operating Officer and Chief Financial Officer.

Members of the Committee will review written complaint submitted to the committee for arbitration and then communicate with the complainant and others named in the complaint.



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Resolution:

Dawood Equities Limited is committed to resolving complaints within fifteen business days of you lodging a complaint, however this may not be possible in all circumstances. If we are unable to resolve a complaint within fifteen business days the complainant will be informed of the reason for the delay and will be provided with a specific date when your complaint can be finalized. The Committee will jointly decide on a resolution and notify the complainant in writing of their decision.

Documentation:

Records of all complaints and their resolution will be documented and the records will be secured by the Dawood Equities Limited. Record of all complaints will be kept on file and utilized for continuous improvement process and monitoring. All personal information will be recorded in accordance with relevant privacy regulations

FUTURE IMPROVEMENTS

The management will review and may amend or otherwise modify this policy statement from time to time with the approval of Board of Directors of DEL.

BOARD OF DIRECTOR APPROVAL

This policy has will be approved by the Board of Directors on February 27, 2025.