

## 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**

1. Clients initiate the complaint resolution process by sending an email to us on our designated email address ([investorgrievances@prostocks.com](mailto:investorgrievances@prostocks.com)) for complaints. This email address is specifically established to handle and address client grievances.

### **Step 2: Providing Relevant Information**

2. 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: Initial Review and Assigning**

3. 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 4: Investigation and Response**

4. 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 5: Providing Resolution**

5. 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 6: Amicable Resolution Attempted**

6. 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 7: Unsatisfactory Resolution**

7. 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 8: Providing Escalation Details**

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

### **Step 9: Further Escalation**

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