

FIRST CAPITAL SECURITIES CORPORATION LIMITED

COMMUNICATION POLICY

Introduction

Objective

The objective of this policy is to outline the procedures the Company will follow in order to respond to the communication and complaints received from external parties, clients, customers, regulators and respond to the queries and complaints on timely basis.

Policy

- An email address will be provided on the official website of Company for the purpose of filing complaints/queries from customers, readers, viewers, contractors, suppliers and investors, regulators etc.
- Money Market Operations department will handle the complaints regarding operations and clients customers and it is the responsibility of Manager Operations;

Compliance Department will handle the complaints regarding compliance and Shareholders, investors and Chief Compliance Officer (CCO) to keep it up to date.

- It will be the responsibility of the Manager Operations and CCO to keep a regular check of the email.
- When a complaint is received, it will be responded at the earliest possible but not later than 10 days.
- It will be the Manager Operations and CCO judgmental call whether a complaint received shall be responded or not. In case of an obnoxious email or email with undisclosed sender, the Manager Operations and CCO will respond asking for furnishing of more details or other appropriate reply. If the complaint received is to be answered, Manager Operations and the CCO will allocate a complaint reference number to it and forward it to the concerned department.
- When a response is received from the concerned department, the Manager Operations will respond to the original email received.

Reporting

- A complaint status report will be prepared for each quarter by the Manager Operations. The report will include number of complaints received, number of complaints forwarded to each department, number of complaints responded, complaints reference number and outstanding complaints.
- Manager Operations and CCO will forward their respective reports to the CEO.

- If the CEO considers that certain complaints need to be discussed with any of the concerned department heads or Board of Directors, these shall be discussed accordingly.

Communication with Regulators and Govt. Agencies etc;

Company Secretary and CCO will be responsible for responding all correspondence received from Shareholders, strategic partners and Regulators including SECP etc.

Company Secretary and CCO shall provide a timely update to CEO on the communication between Company, Regulators and Shareholders.