



ARBITRATION / DISPUTE RESOLUTION POLICY

Regulatory Reference	Pursuant to SEBI Circular SEBI/HO/OIAE/OIAE_IAD-3/P/CIR/2023/191 dated December 26, 2023 on the ODR framework, and applicable exchange bye-laws.
Applicability	All to clients

1. Preamble

PCSL believes that disputes, when they arise, must be resolved in a manner that is just, impartial, expeditious and economical — both for the client and for the Company. The Company is committed to the following foundational principles that shall guide every stage of dispute resolution under this Policy.

- a) **Good Faith and Fair Dealing:** All dispute resolution proceedings shall be conducted in a spirit of good faith. PCSL shall not adopt dilatory, obstructive or coercive tactics at any stage of the process, and shall cooperate fully and honestly with all grievance, conciliation and arbitration forums.
- b) **Client Centricity:** The investor or client is at the centre of PCSL's dispute resolution philosophy. The interests, rights and statutory entitlements of the investor shall be afforded paramount consideration at every stage of the process.
- c) **Transparency:** PCSL shall maintain complete transparency in all dispute-related communications, disclosures and proceedings. Clients shall be kept duly informed of the status, progress and outcome of their complaints and disputes.
- d) **Accessibility:** Dispute resolution mechanisms shall be accessible to clients irrespective of their location, technological capacity or financial resources. PCSL shall ensure that no procedural barrier operates to defeat a legitimate claim.
- e) **Timeliness:** PCSL recognises that delayed resolution compounds grievances and erodes investor trust. The Company shall adhere strictly to all timelines prescribed by SEBI, the exchanges, the RBI and this Policy, and shall endeavour to resolve disputes at the earliest possible stage.
- f) **Regulatory Compliance and Supremacy:** Nothing in this Policy shall be construed to limit, restrict or supersede the rights and remedies available to investors under applicable law, SEBI regulations, exchange bye-laws, RBI directions or the orders of competent courts and regulatory tribunals. In the event of any inconsistency between this Policy and applicable law or regulatory directions, the law and regulatory directions shall prevail.
- g) **Finality and Enforceability:** Arbitral awards and settlement agreements arising out of proceedings under this Policy shall be final, binding and enforceable in accordance with the Arbitration and Conciliation Act, 1996, and applicable law, subject to statutory rights of challenge and appeal.
- h) **Confidentiality:** All dispute resolution proceedings, submissions and communications shall be treated as strictly confidential by PCSL, subject to mandatory reporting obligations imposed by law and regulators.

PROMPT CORPORATE SERVICES LTD.

Shalini Singha

Director



2. Scope And Applicability

This Policy shall **apply to**:

- a) All disputes, differences, claims and grievances arising between PCSL — in its capacity as a stock broker on BSE and NSE — and its registered clients, in connection with any trade, transaction, settlement, margin, brokerage, fee, account operation, or any other matter arising out of or incidental to the client-broker relationship.
- b) All disputes arising between PCSL — in its capacity as a registered NBFC — and its clients or borrowers, in connection with loan transactions, interest, charges, security enforcement or any other matter arising under the NBFC business of PCSL.
- c) All disputes involving alleged deficiency in service, wrongful debit or credit, unauthorised transactions, or breach of obligations by PCSL under any applicable law, regulation, agreement or code of conduct.
- d) All disputes referred by clients to BSE, NSE, SEBI SCORES, or the SMART ODR platform, in respect of which PCSL is obligated to respond, participate and resolve.

This Policy **does not apply to**:

- a) Disputes between PCSL and its employees, sub-brokers or authorised persons, which shall be governed by separate employment/contractual agreements.
- b) Matters that are sub-judice before a competent court, tribunal or regulatory authority, where the forum has exclusive jurisdiction.
- c) Matters involving fraud, forgery or criminal conduct, which shall be referred to law enforcement authorities, without prejudice to civil remedies available to the aggrieved party.

3. Internal Dispute Resolution

Disputes shall first be attempted to be resolved internally as per the Grievance Redressal Policy. The Compliance Officer is the designated authority.

4. Exchange-Level Arbitration

If not resolved internally, clients may approach the Investor Grievance Cell of BSE or NSE.

- BSE: Phiroze Jeejeebhoy Towers, Dalal Street, Mumbai | Toll Free: 1800-22-1233
- NSE: Exchange Plaza, Bandra Kurla Complex, Mumbai | Toll Free: 1800-266-0053

5. Online Dispute Resolution (ODR)

Pursuant to SEBI circular dated July 31, 2023, clients may use the SMART ODR Portal (www.smartodr.in) for online conciliation and arbitration of disputes. This platform is available for all SEBI-registered market intermediaries.

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6. SEBI SCORES

Unresolved complaints may also be escalated to SEBI through the SCORES platform at www.scores.sebi.gov.in. PCSL undertakes to respond to complaints within prescribed timelines.

7. Consumer Courts / Judicial Forums

Nothing in this policy shall restrict a client's right to approach competent courts of law or consumer forums as available under applicable law.

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Director