GOODFLOW SECURITIES PRIVATE LIMITED

CLIENT COMPLAINT / GRIEVANCE REDRESSAL PROCEDURE

1. INTRODUCTION

Goodflow Securities Private Limited (“Goodflow” / “Company”) is committed to providing efficient, transparent and fair services to its clients.

Goodflow has established a structured mechanism for registering, handling and resolving client complaints and grievances in accordance with the applicable requirements of the **Securities and Exchange Board of India (SEBI)** and the Stock Exchanges of which Goodflow is a member.

Clients are encouraged to first approach Goodflow for resolution of any complaint or grievance relating to the services provided by the Company.

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2. HOW TO REGISTER A COMPLAINT WITH GOODFLOW

A client may register a complaint through any of the following channels:

A. Email

Clients may send their complaint to:

Grievance / Client Complaint Email: grievance@goodflowsecurities.com

The client should preferably mention:

- Name of the client;
- Client ID / Trading Account Number;
- PAN;
- Registered mobile number;
- Nature of complaint;
- Relevant transaction/order details, if applicable; and
- Supporting documents, if any.

B. Written Complaint

A client may submit a written complaint at the registered office / corporate office of Goodflow at:

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3. ACKNOWLEDGEMENT OF COMPLAINT

Goodflow shall acknowledge complaints received through its designated complaint channels.

The acknowledgement shall, wherever applicable, contain:

- Complaint/reference number;
- Date of receipt;
- Brief description of the complaint; and
- Contact details for further communication.

The complaint/reference number should be quoted by the client in all subsequent correspondence relating to the same complaint.

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4. PROCESS FOR HANDLING CLIENT COMPLAINTS

Upon receipt of a complaint, Goodflow shall:

1. Register the complaint in its complaint/grievance records;
2. Examine the facts and documents relating to the complaint;
3. Obtain relevant information from the concerned department/personnel, wherever required;
4. Verify the transaction and account records;
5. Take corrective action wherever the complaint is found to be justified;
6. Communicate the outcome/resolution to the client; and
7. Maintain appropriate records of the complaint and action taken.

Goodflow shall endeavour to resolve complaints fairly, transparently and within the timelines prescribed under the applicable regulatory framework.

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5. TIME LIMIT FOR RESOLUTION

Goodflow shall endeavour to resolve and close client complaints **within the timeline prescribed by SEBI and the applicable Stock Exchange regulations/circulars**.

Where additional time is required due to the nature or complexity of the complaint, the client shall be appropriately informed, wherever applicable.

The regulatory timelines applicable to the particular category of complaint shall prevail.

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6. ESCALATION WITHIN GOODFLOW

If the client is not satisfied with the response received from the concerned department, or if the complaint remains unresolved, the client may escalate the matter to the designated Compliance Officer / Grievance Officer of Goodflow.

Grievance Officer

Email: grievance@goodflowsecurities.com

The client should mention the original complaint/reference number while escalating the matter.

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7. ESCALATION TO STOCK EXCHANGES / SEBI

If the client is not satisfied with the resolution provided by Goodflow, or if the complaint is not resolved within the applicable regulatory timeline, the client may approach the appropriate regulatory / investor grievance redressal mechanism.

SEBI – SCORES

A client may lodge a complaint with SEBI through the **SCORES (SEBI Complaints Redress System)** platform.

SEBI SCORES Portal- https://scores.sebi.gov.in

SCORES enables investors to lodge complaints against SEBI-regulated entities and track the status of their complaints.

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8. ONLINE DISPUTE RESOLUTION (ODR)

Clients may also use the **Online Dispute Resolution (ODR)** mechanism for resolution of eligible disputes, in accordance with the applicable SEBI framework.

urlSEBI Online Dispute Resolution Portalhttps://smartodr.in/

The ODR mechanism provides an online platform for resolution of eligible disputes between investors/clients and regulated entities.

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9. STOCK EXCHANGE GRIEVANCE REDRESSAL

Clients may approach the relevant Stock Exchange grievance redressal mechanism in accordance with the applicable rules and procedures.

Goodflow is a member of the applicable Stock Exchanges, including:

- **National Stock Exchange of India Limited (NSE)**
- **BSE Limited (BSE)**
- **Multi Commodity Exchange of India Limited (MCX)**

Clients may approach the relevant Exchange for complaints concerning the services / transactions falling within the jurisdiction of the respective Exchange.

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10. INVESTOR GRIEVANCE REDRESSAL MECHANISM

The grievance redressal process broadly follows the following sequence:

Client identifies grievance

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Complaint submitted to Goodflow

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Complaint acknowledged and registered

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Complaint examined by concerned department

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Resolution / response communicated to client

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If unresolved / client not satisfied

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Escalation to Compliance Officer / Grievance Officer

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If still unresolved

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Stock Exchange / SEBI SCORES / applicable ODR mechanism

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11. IMPORTANT INFORMATION FOR CLIENTS

Clients are advised to:

- Raise complaints at the earliest opportunity;
- Quote their Client ID / Trading Account Number in all communications;
- Provide complete and accurate details of the grievance;
- Preserve contract notes, statements, order details and other relevant records;
- Not share passwords, OTPs, PINs or other confidential login credentials while making a complaint;
- Use only Goodflow's official communication channels; and
- Keep the complaint/reference number for future correspondence.

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12. FRAUD / UNAUTHORISED TRANSACTION

In case a client notices any unauthorised transaction or suspects fraudulent activity in the trading account, the client should immediately contact Goodflow through the designated emergency / client service channel and request appropriate action, including **voluntary freezing/blocking of online trading access**, wherever required.

Clients should not wait for the regular complaint resolution process where there is an immediate risk of further unauthorised activity.

For voluntary freezing/blocking of online trading access, clients should refer to Goodflow's **Voluntary Freezing / Blocking of Online Access to Trading Account Policy** available on the Company's website.

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13. CONFIDENTIALITY

Goodflow shall handle client complaints and the information provided by clients with appropriate confidentiality and in accordance with applicable laws, regulations and internal policies.

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