

PYRAMID SECURITIES LIMITED

COMPLAINT MANAGEMENT PROCEDURE

A. Where Customer approaches ASHON/The Nigerian Exchange Ltd/NGX Regulation/SEC directly without first raising the matter with our Company:

1. Complaints received and acknowledged within 2 working days
2. Management deliberates on the complaint(s) after making necessary investigations within 5 working days
3. Management contacts the client to discuss the outcome of the investigation. If matter is resolved, ASHON is informed accordingly. If not, proceed to item 4.
4. ASHON is informed of the unresolved matter with relevant information. Attend Disciplinary Committee of ASHON if invited.
5. Company responds to the report from the Exco of ASHON.
6. Where either of the parties is not satisfied with outcome, Appeal may be made to ASHON Exco.
7. Where either of the parties is still not satisfied with outcome from ASHON Exco, appeal may be made to The Exchange. Where still not satisfied with outcome from The Exchange, appeal may be made to SEC.

B. Where Customer complained directly to Pyramid Securities Ltd:

1. Complaint received and acknowledged within 2 working days.
2. Management deliberates on the complaint(s) after making necessary investigations within 5 working days.
3. Management contacts the client to discuss outcome of the investigation. If matter is resolved, case closed. If not, proceed to item 4
4. Customer may report the matter to ASHON.
5. When the company is contacted, ASHON is informed of the matter with relevant information within 5 working days. Attends Disciplinary Committee of ASHON, if invited.
6. Company responds to the report from the Exco of ASHON.

7. Where either of the parties is not satisfied with outcome, Appeal may be made to ASHON Exco.

8. Where either of the parties is still not satisfied with outcome, Appeal may be made to The Nigerian Stock Exchange.

C. Where Pyramid Securities Ltd has complaint on a Customer's Account:

1. The Company will call the customer's attention to the matter and invite him/her for a meeting.

2. Where the customer is not responding positively to the matter, the Company will write the customer requesting that the matter be resolved within 7 days.

3. Where the matter is not resolved, the Company will inform ASHON of the development and the action it intends to take, requesting for ASHON's advice.

4. If not satisfied with ASHON's response on the matter, the Company will write The Exchange and copy SEC and ASHON.

5. The Company awaits response from The Exchange/SEC.

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