

## COMPLAINT HANDLING PROCEDURE

### 1. Scope

This policy outlines the guidelines for effectively managing and promptly resolving complaints raised by clients or prospective clients regarding the Company's services. It establishes a complaint-handling framework to ensure effective resolution while minimizing regulatory and legal risks.

### 2. Complaint Resolution Process

2.1. Clients or prospective clients can raise complaints or submit reports to the Complaints Handling Division (Compliance Department) of the Company at no cost. Complaints can be submitted via email to [complaints@trade24seven.com](mailto:complaints@trade24seven.com) by completing the [Complaint Form](#) available on the Company's website, or by sending an email with the subject line "Complaint Submission – Report."

The following information must be included:

- I. Client's full name
- II. Client's account number
- III. Detailed explanation of the issue, including any relevant details
- IV. References to the transactions involved in the complaint
- V. Date and time of the incident in question

### 3. Providing an Initial Response

The Compliance Department will:

3.1 Send a written acknowledgment to the client within seven (7) business days of receiving the complaint. This acknowledgment will confirm receipt of the complaint and provide relevant details regarding its handling.

3.2 Notify the client that this reference should be used in all future correspondence regarding the complaint. The resolution process will be completed as quickly as possible, but no later than five (5) business days from the date the complaint was received.

#### **4. Internal Review of the Complaint**

The Compliance Department will conduct a thorough review of all complaints, coordinating with other relevant departments as necessary. This process includes examining all pertinent records and data available in the Company's systems, such as details from the client's account, to ensure a fair and impartial assessment.

#### **5. Final decision**

After reviewing the client's case and analyzing the details of the complaint, the Compliance Department will provide a written response outlining the Company's position on the matter. This communication will be clear and straightforward. If the final decision does not fully meet the complainant's expectations, they will be informed in writing with a detailed explanation of the Company's stance on the complaint. All complaints are handled with confidentiality and discretion, strictly adhering to regulations for protecting clients' personal data.

#### **6. Record keeping**

The Compliance Department is responsible for managing and retaining records of all complaints in an organized manner, ensuring compliance with personal data protection regulations while allowing for easy access and retrieval.

For each complaint, an individual file will be created to document measures taken to address and resolve it. Additionally, a centralized register of all complaints will be maintained, including:

- I. Complainant's name, address, and account number (if applicable)
- II. Date received
- III. Departments involved in the investigation, along with the names of responsible employees
- IV. Description of the complaint's nature
- V. Details of actions taken to resolve it
- VI. Date resolved

The Company is obliged to retain all complaint records for a minimum of five (5) years, or longer if required by regulatory authorities.

#### **7. Policy Review**

The Compliance Department reserves the right to periodically review and update its policies and regulations as deemed necessary.

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