

Complaint Handling

The Compliance Officer is responsible to handle any complaint received from its client as per the below internal process adopted.

This manual is published in the company website to ease of clients' access.

The below procedure sets out the processes to be followed while dealing with complaints received by the Clients:

1. All complaints must be in writing and shall be addressed, in the first instance, to the Compliance Department.
2. The Clients shall provide his Client account opening number and the complaint in writing detailing the issue involved in such a complaint or the transaction that is in dispute.
3. The Client can send his complaint through email and the compliance officer should acknowledge the receipt of the complaint immediately.
4. The compliance officer will write to the complainant to acknowledge that the complaint has been recorded and is receiving traders Hub's attention within 24hrs of receipt of the complaint.
5. Ensuring that the employee to whom the complaint was referred did not participate in managing and providing the financial services concerning which the complaint was filed and ensuring that he is able to handle the complaint appropriately, justly and impartiality.
6. Ensuring that the employee to whom the complaint was referred has sufficient powers to settle the complaint or is able to communicate with the decision maker.
7. Providing the complainant with contact details, name of the employee in charge, the procedures of complaints handling services, the durations and the mechanism of keeping all its details, documents, correspondences, along with the procedures taken concerning it according to the legal periods.
8. The Client shall be given 15(fifteen) days or higher order for the Company to ascertain the strength and evidence of the complaint.
9. The Operations Manager shall investigate the trades or transactions that are disputed.
10. All complaints received should be dealt with strict confidence by the compliance officer.
11. Referring the complaint to another body in the event that it becomes apparent that is fully or partially responsible for the complaint subject. It is necessary that this mechanism shall

include the following procedures:

- I. Notifying the complainant that the complaint will be referred to another body because of being responsible for it, under a dated letter.
- II. In the event that the complainant agrees, the complaint shall be immediately referred along with notifying the complainant in writing of the complaint referral date, the person responsible for the complaint in the body to which the complaint was referred and the contact and communication details.
- III. Continue handling any part of the complaint that was not referred.
- IV. In the event that the complaint refuses referral or does not respond within a period of not more than (10) business days, the complaint shall be considered within the limits of the available documents and information, or it shall be returned to the complainant along with provision of evidence proving the same in order to file the complaint to the relevant or competent body.
 - Inform the complainant when the decision is made about the complaint by the company on a dated letter.
 - The company will mention in the letter that that If the complainant is not satisfied about company decision, he can file a complaint with The Authority, and Traders Hub will offer to provide him with the suitable contact details upon his request.
 - All Client complaints shall be recorded in the Client Complaint register.

Upon the completion of the investigation, the compliance officer shall send a response to the Client/complainant by providing its final deliberations. If the Client is not satisfied with the outcome and/or deliberations, they may choose to go to The Authority as they deem appropriate.