



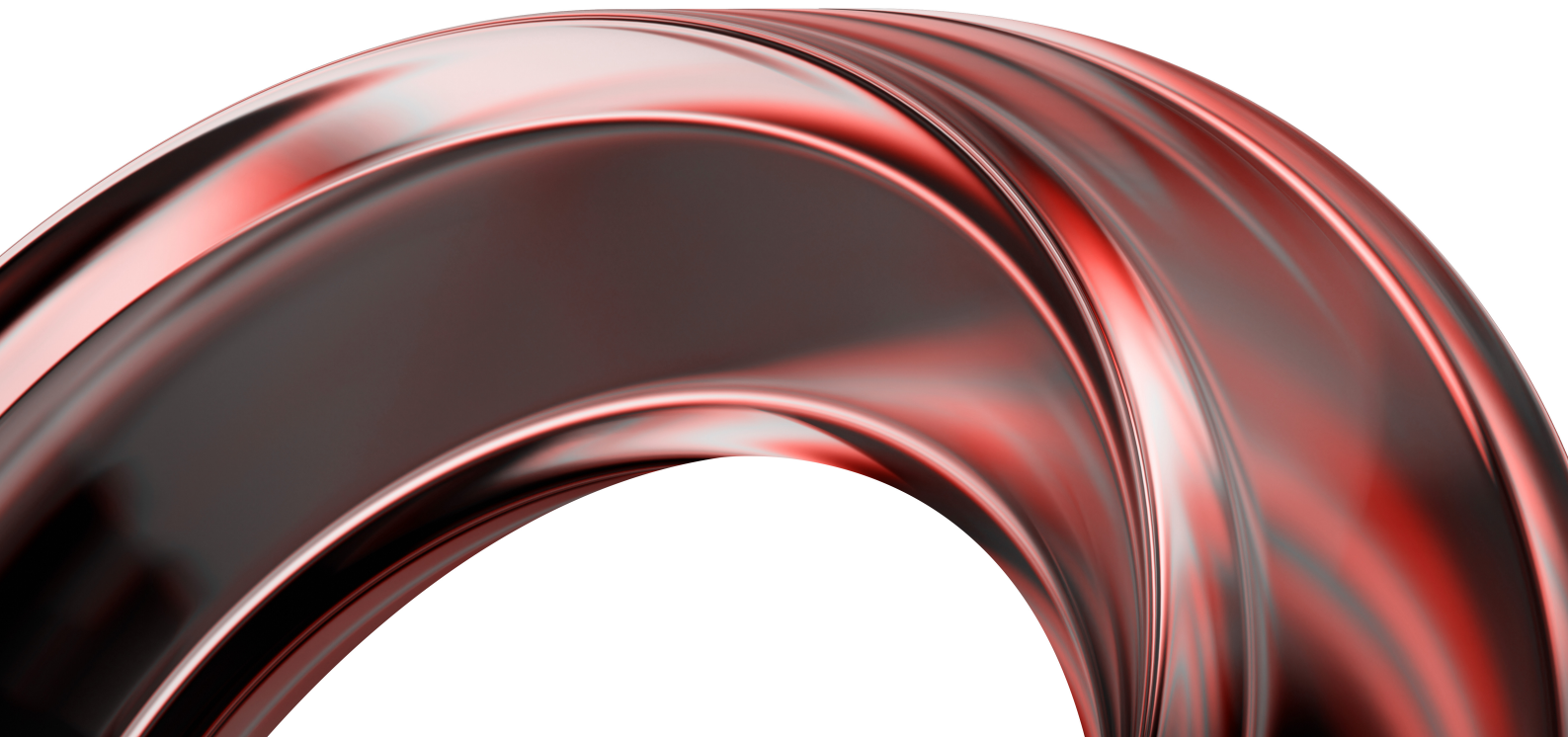
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# COMPLAINT HANDLING POLICY

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EC MARKETS LIMITED

AN INVESTMENT DEALER (FULL SERVICE DEALER EXCLUDING UNDERWRITING)  
LICENCE AND GLOBAL BUSINESS COMPANY LICENSED BY THE FSC



| DOCUMENT HISTORY |                 |   |                        |
|------------------|-----------------|---|------------------------|
| Version          | Date of Changes | Comments  | Date of Board Approval |
| 1.0              | June 2022       | The Policy was drafted and submitted to the Board.                | 20.06.2022             |
| 2.0              | July 2023       | The draft policy was repealed, and a new policy has been devised. | 31.07.2023             |
| 3.0              | July 2024       | The information required and email address (Page 4) was revised.  | 25.07.2024             |
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## SUMMARY OF COMPLAINTS PROCEDURE

EC Markets Limited (herein the 'Company') fully adheres to the rules on complaint handling.

In the event that a dispute arises for instance or for whatever reasons, the Client shall have the right to file a complaint with the Company. This document sets out the Company's complaint procedures. It has been prepared to demonstrate the Company's aim to treat its customers fairly at all times.

The Company will follow these 4 steps to ensure your complaint is dealt with in the appropriate manner:

- We will record the details of your complaint and contact you within 48 hours of receipt of the complaint and confirm to you the person who will be your contact at the Company.
- We will then thoroughly investigate the basis of the complaint using all the information available to us.
- After the investigation is concluded we will correct any errors on the part of the Company.
- We will then let you know the outcome of our investigation.

## INFORMATION REQUIRED

When making a complaint please could you include the following information:

- Your trading account number;
- Your name and surname;
- Your contact details;
- A description of the problem and affected transaction number (if applicable); and
- The date and time that the issue arose.

Contact details of where to make your complaint can be found in the table below.

The Company shall have the right to refuse a client's complaint regarding non-trading operations in the following cases:

- a) where the complaint did not meet the requirements of this Policy;
- b) where the complaint was not made to the Company according to the provided standard form;
- c) where it transpired that the complaint has been made in bad faith;
- d) related to complaint on matters non-trading operations - if the client initiates non-trading operations by way of internal account-to-account transfers to other client accounts held with the Company using funds credited to the client's Account by way of a non-trading operation currently under dispute, or where the client initiates trading operations using funds that were credited to the client's Account by way of a nontrading operation currently under dispute.

## TIMESCALES

We will always try and deal with your complaint as quickly as possible. An initial response will be sent to you within 48 hours of receiving the complaint. Within this email we will provide you with further details on the process we will take to investigate your complaint.

Kindly note that the Company will assist customers and aim to thoroughly investigate and resolve all complaints as quickly as possible. For simple complaints, the Company will be dealt with the complaint within a period of 5 business days from proper notification of the complaint. It should be noted that in certain specific situations this period may be extended to more than 5 business days.

We endeavour to resolve all complaints within a 4 week period. If for any reason this will not be possible, we will write to you notifying you of this. At the latest, your complaint will be dealt with within 8 weeks from the date of receipt of the complaint. We are committed to resolving complaints through our Complaints Handling Procedure.

## CONTACT DETAILS

Please direct your complaints to the following:

|                        |   |
|------------------------|---|
| <b>In writing:</b>     | EC Markets Limited<br>C/o Credentia International Management Ltd,<br>The Cyberati Lounge,<br>Ground Floor, The Catalyst,<br>Silicon Avenue, 40 Cybercity,<br>72201 Ebene<br>Republic of Mauritius |
| <b>Over the phone:</b> | +230 467 2000   |
| <b>Via Email to:</b>   | ECMARKETS.MU@credentiainternational.com   |