COMPLAINT HANDLING POLICY

Capital Com Stock and CFD Investing Ltd (hereafter the "Company") is a limited liability company incorporated and registered under the laws of Seychelles, with Company number 8429903-1 and a registered address at CT House, Office 5A, Providence, Mahe, Seychelles. The Company is authorized and regulated by the Financial Services Authority in Seychelles ("FSA") under the license number SD101.

The Company has appointed a Compliance Officer to efficiently handle any complaints from the Clients. This is to allow the Company to resolve and apply mandatory measures to avoid any recurring issues.

Definition

The Company classifies a complaint as any objection and/or dissatisfaction that the Client may have with regards to the provision of the services provided by the Company. A complaint form is enclosed at the end of this policy.

Procedure

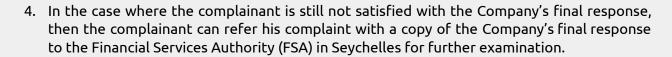
The Compliance Officer shall be responsible for handling Client complaints, except in the case where the complaint involves the Compliance Officer, whereby the complaint shall be handled by the Representative Officer.

The Client may register a complaint by completing the complaint form, using any of the following options:

- Email: compliance.sey@capital.com
- Postal Address: Capital Com Stock and CFD Investing Ltd CT House, Office 9A
 Providence, Mahe

Seychelles

- 1. When the Compliance Officer receives the Client's complaint then a written acknowledgement will be sent to the Client within 7 business days;
- 2. The Company will attempt a final response within 30 business days, however in case we are still not in a position to resolve the issue then the Compliance Officer will notify you in writing stating the reasons for the delay and indicate an estimated time to resolve the issue;
- 3. A final response should be provided to the Client within 60 business days the latest from the date he submitted his complaint;



The contact details for the Financial Services Authority (FSA) in Seychelles are set out below:

PO Box 991

Address: Bois de Rose Avenue

Roche Caiman Victoria, Mahe, Republic of Seychelles

Phone: (+248) 438 08 00

Fax: (+248) 438 08 88

Email: <u>complaints@fsaseychelles.sc</u>

Website: http://fsaseychelles.sc/index.php/contact-us

Client Records

The Client should provide all relevant documentations as well as any additional information requested by the Compliance Officer in order to ensure all records are collected and the complaint is properly resolved on time.

All records will be kept safe as per local requirements and for a period of seven (7) years.

[The complaint form can be found in the next page]

Complaint Form

. Client Information:	
Name:	Account Number:
Address:	Telephone Number:
. Brief Summary of the Complaint: ease describe the product or service yo and suggested way to be solved):	u are complaining about (description, evidence, amoun
Possible documentation to be provided	umentation that may help us to handle the complaint. d (client statement, correspondence with the Company ration to be requested by the Compliance Officer whic
Date and place	Client Signature
For internal use only:	
Complaint Received By:	Date:
Acknowledgement sent to Client:	□ Yes - □ No
Informed Client of initial action:	□ Yes - □ No

Final response provided to Client:	□ Yes - □ No
Holding response provided to Client:	□ Yes - □ No - □ N/A
Signature of Compliance Officer:	Date: