

# COMPLAINTS POLICY

## COMPLAINT HANDLING POLICY

Capital Com Online Investments Ltd (hereafter the "Company") is an incorporated company in the form of International Business Company with company number 209236B and registered at the address The Bahamas Financial Centre, 3rd Floor, Shirley & Charlotte Streets, P.O. Box N-4865, Nassau, Bahamas. The Company is authorized and regulated by the Securities Commission of the Bahamas (the "SCB") under the license number SIA/F245.

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.

You must provide the following information to assist us in dealing with your complaint:

- Your Trading Account Number;
- Your Name/Surname/Email address;
- Date of the event;
- Cause of your complaint (please indicate one of causes as follows:
  - Execution of orders;
  - quality or lack of information provided;
  - terms of contract/fees/charges;
  - general admin/customer services;
  - issue in relation to withdrawal of funds;
  - any other cause
- Details of the person or department of the Company to whom you think the complaint should be directed;

All client Complaints must be submitted in writing, and should be as descriptive as possible in respect of the events that led to the filing of the complaint. The Company reserves the right not to review verbal complaints or claims missing significant details, such as date of the event, affected positions and/ or requested compensation amount etc.

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The Client may register a complaint by communicating the complaint via any of the following options:

- Email: [compliance.bahamas@capital.com](mailto:compliance.bahamas@capital.com)
  - Postal Address: Capital Com Online Investments Ltd  
The Bahamas Financial Centre,  
3rd Floor, Shirley & Charlotte Streets,  
P.O. Box N-4865,  
Nassau, Bahamas.
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 14 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;
  4. In the case where the complainant is still not satisfied with the Company's final response, then the complainant can refer his complaint with a copy of the Company's final response to the Securities Commission of Bahamas (SCB) in Bahamas for further examination.

**The contact details for the Securities Commission of Bahamas (SCB) in Bahamas are set out below:**

Address: Poinciana House-North Building  
2nd Floor  
31A East Bay Street  
P.O. Box N- 8347  
Nassau, The Bahamas

Phone: 1 (360) 450-0981 (International)

Email: [info@scb.gov.bs](mailto:info@scb.gov.bs)

Website: <https://www.scb.gov.bs/contact-us/>

**Client Records**

The Client should provide all relevant documentation, 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.

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## Complaint Form

### A. Client Information:

Name:	Account Number:
Address:	Telephone Number:

### B. Brief Summary of the Complaint:

Please describe the product or service you are complaining about (*description, evidence, amount and suggested way to be solved*):

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- *Please enclose any other relevant documentation that may help us to handle the complaint.*
- *Possible documentation to be provided (client statement, correspondence with the Company as well as any other supporting documentation to be requested by the Compliance Officer which is relevant to the Client's complaint)*

\_\_\_\_\_  
Date and place

\_\_\_\_\_  
Client Signature