

COMPLAINT POLICY

capital.com

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INTRODUCTION

Capital Com Australia Pty Limited ("CCAU", "us", "we", "our") is a Company incorporated in Australia, which is regulated by the Australian Securities and Investments Commission (the "ASIC") as holder of an Australian Financial Services Licence (AFSL: 513393). CCAU's registered office is located at **Level 15, 357 Collins Street, Melbourne, Victoria, 3000**.

PURPOSE

CCAU is committed to ensuring that its clients are satisfied with its products and services and that it complies with its obligation to maintain a robust and efficient complaint process.

COMPLAINT PROCESS

CCAU's complaint process is simple. If you are dissatisfied with our products, services, staff or the way we have handled an earlier complaint, you can contact us and let us know. Our dedicated and trained customer service team is here to assist you.

HOW TO CONTACT US:

You can send us your complaint in a way that is most convenient to you. We are contactable by:

- **Email:** complaints.au@capital.com
- **Livechat:** <https://capital.com/contact-us>

You can also contact us through any of our official social media platforms and our social media manager will direct your complaint to the relevant team member to assist.

What we need from you:

Our complaint process is an informal one however, providing relevant information and sufficient detail about your complaint can save time and help us progress the investigation of your complaint more efficiently.

Information we would normally require includes:

- Your name, trading account number and contact details;
- A clear description of your complaint and when it occurred;

- In case you have spoken with anyone from CCAU, please state his/her name; and
- Copies of relevant documents or any other relevant supporting information.

If you need any help submitting your complaint, please reach out to our customer service team, who will be happy to assist.

Investigation and resolution timeframes:

We will acknowledge receipt of your complaint as soon as possible but usually within 24 hours or the next business day (if we receive a complaint during a public holiday or over the weekend).

If your complaint is relatively simple, our customer services team will aim to resolve it **within 5 business days**.

For more complex complaints, your complaint may be referred to a more senior team member or our compliance team, and we may need additional time to reach a decision. Please note that we are afforded **up to 30 calendar days** to resolve your complaint. In exceptional cases where we need more than 30 days, you will be notified in writing by our compliance team.

Resolution:

Our goal is to ensure client satisfaction. However, there may be instances when outcomes differ from expectations. Nevertheless, we will follow up with you and inform you of the outcome.

Escalation:

If we were unable to resolve your complaint to your satisfaction, please note that we are a member of the Australian Financial Complaints Authority (AFCA), and you may refer your complaint to them.

For more information about how to make a complaint at AFCA, please refer to their website: <https://www.afca.org.au/make-a-complaint>

AFCA can be contacted by:

Post: GPO Box 3, Melbourne, VIC 3001, Australia

Phone: 1800 931 678

Fax: (03) 9613 6399

Email: info@afca.org.au