

COMPLAINTS POLICY

CAPITAL COM MENA SECURITIES TRADING L.L.C

Incorporation number: 1193262
SCA Licence number 20200000176

Capital Com Mena Securities Trading L.L.C (the “**Firm**”) is authorised and regulated by the Securities and Commodities Authority (“SCA”) under licence number 2020000176.

Our Complaints Policy is designed to comply with our regulatory requirements. We have thus established the following procedure for handling complaints from our customers.

While we always endeavour to offer the best possible service to you, we recognise that you may on occasion feel dissatisfied with an aspect of our service. If this is ever the case, and in the first instance, please contact our Customer Support team by email to the following email address support@capital.com or by telephone on +971 4 576864.

When contacting our Customer Support team, please provide as much information as possible, including:

- your full name and account number;
- contact details’
- a clear and precise description of the issue or complaint; and
- references to any additional relevant documentation, screenshots, etc.

Upon receipt of the issue, you will be sent a written acknowledgement of your issue by email promptly. Additional information will be requested from you if it is needed. We will then keep you informed of the progress of the investigation. Our Customer Support team will endeavour to resolve your dissatisfaction in a timely manner, typically within 5 business days from the date of acknowledgment.

If, after the resolution is provided, we do not receive any response from you regarding your interest in further escalating the matter, we will regard your concerns to be successfully resolved.

If you remain unsatisfied with the resolution provided by the Customer Service team, you may escalate the complaint to our compliance team by emailing Complianceuae@capital.com. Our compliance team will conduct a thorough assessment of your complaint, engaging other internal teams where necessary, to ensure a fair review of the matter. Our team will investigate your complaint competently, diligently and impartially to assess whether the Firm has acted fairly, within its rights and have met the Firm’s contractual obligations.

Please note that if this is specified by the client’s agreement that governs our relationship with you and depending on the nature of your complaint, we may suspend trading on your account(s) while your complaint is being investigated. We will notify you should this be the case.

Our Final Response will review the outcome of our investigation, the actions that will be taken to resolve the matter, where appropriate, and offer you a solution. If your complaint is rejected, we will explain the reasons for this.

The Final Response will be provided within 2 months. In the event that we are unable to respond within 2 months, due to the complexity of the complaint, we will inform you of the reasons for the delay and indicate the period of time within which it is possible to complete our investigation.

In the event that our Final Response does not fully satisfy you, you may file your complaint to the Securities and Commodities Authority. Details on SCA’s approach to receive a complaint is detailed on their website.

The Securities and Commodities Authority may be contacted at:

Website: www.sca.gov.ae

Telephone: 800722823