

COMPLAINT FORM

A. Client Information:

Name:	Account Number:
Address:	Telephone Number:

B. Type of Complaint

1. Execution of Orders	☐
2. Quality or lack of information provided	☐
3. Terms and Conditions/Fees/Charges	☐
4. General admin/Customer Services	☐
5. Unauthorized business being offered	☐
6. Issue in relation to withdrawal of funds	☐
7. Other (specify)	☐

C. Brief Summary of the Complaint:

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

--

- 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

FOR INTERNAL USE ONLY:

Complaint Reference number:	
Date of Complaint Received:	
Employee and Department that received the Complaint:	
Acknowledgment Sent to Client:	YES, NO and date
Informed Client of Initial Action	YES, NO and date
Final Response Provided to Client	YES, NO and date
In summary, the content of the reply of the Company to the said Complaint:	

Holding Response Provided to Client:	YES, NO, N/A
	DATE:
Signature Of Compliance Officer	