

## GRANDIS SECURITIES LTD

### Clients' complaints Management Procedures

We, Grandis Securities Ltd (hereinafter, the "Company"), have adopted this Complaints Procedure in order to ensure a fair and quick process for handling complaints that may arise from our relationship.

Under the complaint handling rules, the Company shall deal with any expression of dissatisfaction regarding any financial services activity provided or withheld by the Company.

The Company considers important and essential to pay the proper attention to each and every complaint made by a client, irrelevant of the subject matter of the complaint.

#### **1. Submitting your Complaint**

You may submit your complaint in writing and address it to the **Complaints Management Function** of the Company who is authorized to handle and investigate complaints that may be submitted to them from our Clients.

You are encouraged to use the *Complaints Form* attached herein and submit it in the following way:

By submitting the Complaints Form electronically at the following email address: [compliance@grandissecurities.com.cy](mailto:compliance@grandissecurities.com.cy) or by fax: +357- 22283651, along with a copy of any additional documentation that would be relevant to the complaint.

Clients or potential clients can submit complaints to the Company free of charge.

#### **2. Acknowledging your Complaint**

We will acknowledge receipt of your complaint within five (5) business days from the receipt of your complaint and provide you the unique reference number of your complaint. The unique reference number should be used in all your future contact with the Company, the Financial Ombudsman and/or CySEC regarding the specific complaint.

#### **3. Handling of your Complaint**

Once we acknowledge receipt of your complaint, we will review it carefully, investigate the circumstances surrounding your complaint and will try to resolve it without undue delay.

We shall make every effort to investigate your complaint and provide you with the outcome of our investigation within two (2) months from the date you have submitted your complaint to us. During the investigation process will keep you updated of the handling process of your complaint. One of our officers may contact you directly (including communication by email or phone) in order to obtain further clarifications and information relating to your complaint. We will require your full cooperation in order to expedite the investigation and possible resolution of your complaint.

In the event that your complaint requires further investigation and we cannot resolve it within two (2) months, we will issue a holding response in writing or other durable medium. When a holding response is sent, it will indicate the causes of the delay and when the Company's

investigation is likely to be completed. In any event, we shall provide you with the outcome of our investigation no later than three (3) months from the period of submission of the complaint.

#### **4. Final Decision**

When we reach an outcome, we will inform you of it together with an explanation of our position and any remedy measures we intend to take (if applicable).

In case our final decision that does not fully satisfy your demands, we shall explain to you the Company's position on the complaint and set out your options, to maintain your complaint to an Alternative Dispute Resolution (ADR) Mechanism, the Financial Ombudsman, CySEC or the relevant Courts.

##### A. Contact Details of the Financial Ombudsman of the Republic of Cyprus:

**Website:** <http://www.financialombudsman.gov.cy>

**Email:** [complaints@financialombudsman.gov.cy](mailto:complaints@financialombudsman.gov.cy)

**Postal Address:** P.O. BOX: 25735, 1311 Nicosia, Cyprus

**Telephone:** +35722848900

**Fax:** +35722660584, +35722660118

If you are not satisfied with the Company's final decision you may check with the office of the Financial Ombudsman of the Republic of Cyprus in case you are eligible to file a complaint with them and seek mediation for possible compensation. It is important that you contact the Financial Ombudsman of the Republic of Cyprus within four (4) months of receiving a final response from the Company, otherwise the Financial Ombudsman of the Republic of Cyprus may not be able to deal with your complaint.

In the unlikely event that the Company was unable to provide you with a final response within the three (3) month time period specified above, you may again contact the office of the Financial Ombudsman of the Republic of Cyprus no later than four (4) months after the date when we ought to have provided you with our final decision.

##### B. Contact Details of the Cyprus Securities and Exchange Commission:

**Website:** <http://www.cysec.gov.cy>

**General email:** [info@cysec.gov.cy](mailto:info@cysec.gov.cy)

**Postal Address:** P.O. BOX 24996, 1306 Nicosia, Cyprus

**Telephone:** +35722506600

**Fax:** +35722506700

You may maintain your complaint with the Cyprus Securities and Exchange Commission. However please note that the Cyprus Securities and Exchange Commission does not have restitution powers and therefore does not investigate individual complaints.

It is understood that your right to take legal action remains unaffected by the existence or use of any complaints procedures referred to above.

**Annex I**

**CUSTOMER COMPLAINTS FORM**

Dear Client!

You are kindly requested to complete this form providing all relevant requested information, sign and stamp it (as applicable). You can return it to us via an email at [compliance@grandissecurities.com.cy](mailto:compliance@grandissecurities.com.cy) or by fax: +357- 22283651.

Please note that the below Complaint Form is only indicative and not exhaustive. The Company may request further information and/or clarifications and/or evidence as regards your complaint.

Complaint Date (DD/MM/YYYY):		
<b>CLIENT INFORMATION</b>		
Client name:		
Account Trading Number:		
E-mail Address:		
Phone Number:		
Postal adress:		
Please advise your most convenient method of communication:		
<b>DESCRIPTION OF THE COMPLAINT</b>		
Date when the Complaint was created:		
Does your complaint involve a financial loss?	Yes <input type="checkbox"/> kindly provide the estimated amount of loss:	No <input type="checkbox"/>
Employee who offered the services to the Client:		
I hereby certify and confirm that to the best of my knowledge, the information furnished above is true, accurate, correct and complete.		
Signature:		
Capacity:		
Date:		
<b>For internal use</b>		
Complain number:		
Date received:		
Assigned to:		
To reply by:		

► Please enclose any other relevant documentation that may enable us to handle and resolve the complaint.