



COMPLAINT HANDLING PROCEDURE

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COMPLAINTS HANDLING PROCEDURE

1. INTRODUCTION

Hextra Prime is a Securities Service Provider Licensee regulated and authorized by the Financial Services Authority Saint Vincent & the Grenadines under the License Number: 25989 BC 2020 (hereinafter called the "Company").

2. SCOPE OF THE COMPLAINTS HANDLING PROCEDURE

In dealing with complaints received from complainants, the procedure sets out the procedures used.

3. OUR CULTURE

3.1. In response to every approach made by a member of the public, we at Hextra Prime aim to provide prompt, courteous, helpful, open and informative advice. We are always eager to hear the opinions of our clients, especially the general public, about our performance in general-what we do right and what we do wrong.

3.2. We recognize that, as in all organizations, things can go wrong from time to time and we may not provide the standard of service we have set for ourselves. We are particularly keen to hear about such cases, as they give us an opportunity to correct things and to learn from our mistakes.

3.3. Therefore, as part of our commitment to providing our customers with the best possible service, we maintain efficient and transparent procedures for the prompt handling of complaints; we keep records of complaints and measures taken to resolve complaints, in line with applicable laws, rules and/or regulations.

4. DEFINITION OF A COMPLAINT

4.1. In accordance with the foregoing, if an allegation is submitted to us in writing, we shall investigate a complaint, dispute or difference between us in accordance with the Complaint Handling Procedures set out herein, with respect to either one or more of the following:

a) A perceived injustice on our part due to an alleged maladministration, referring to:

i. Your and/or the transactions and/or contracts carried out and/or reflected in your account(s) with us;

ii. Your rights under these 'Terms and Conditions', our 'Customer Categorization Policy', our 'Order Execution Policy', our 'Conflict of Interest Policy' and our 'Money Laundering Prevention Policy' as set out in our Online Trading Facility 'About Us' section.

b) Disappointment with the response from us to a request by you to provide our services in a different format; and/or,

c) A denial of a request for information concerning your account and/or the transactions and/or contracts carried out and/or reflected therein; and/or a denial of a request for information concerning your account and/or the transactions and/or contracts carried out;

d) Disappointment with the way we respond to an inquiry and/or the time we have taken to respond to it; and/or,

e) In view of the service standards we have set ourselves, as described in the 'Business Terms and Policies' set out on our Online Trading Facility, we are dissatisfied with the standard of the services we offer to you.

5. HOW TO MAKE A COMPLAINT

5.1. Clients who wish to file a complaint must do so either through the Members Area or by sending their complaint, together with any relevant information, to the following email address: support@hextraprime.com. The Compliance Officer shall handle all complaints, and any action taken shall be in accordance with this procedure.

5.2. Upon receipt of a complaint, all relevant evidence and information regarding the complaint is gathered and investigated. As part of your formal complaint, the following information and documentation should be provided to the Compliance Officer, wherever possible in order to ensure that the complaint is addressed in the most efficient and fair way:

- a) Trading Account Number;
- b) Date the problem first occurred;
- c) Short summary of the Complaint;
- d) Disputed amount and currency, if any;
- e) Attachments of any documentation or other information that may assist in the resolution of the Complaint;
- f) Any other information considered relevant.

5.3. A written acknowledgment will be sent to you within three (3) business days once a complaint has been received. This will confirm that we are taking the necessary measures to resolve the complaint, and will also provide our response with a time frame. You will also be informed of the unique reference number for your complaint that you will be able to use regarding your complaint for future correspondence with our company.

5.4. Details of our Complaint Handling Procedure will be included in our acknowledgment response, a free copy of which is available on our website.

6. HOW WE DEAL WITH YOUR COMPLAINT

6.1. We will send you a second email during the investigation of the complaint and no later than fifteen (15) business days after the complaint has been received, containing a complete account of the investigation, of the activities planned, of any findings so far and, if applicable, of any offer of redress.

6.2. Where appropriate, it may also include our final response.

6.3. Hextra Prime will send the final reply to the complainant within eight (8) weeks of receipt of the complaint, or ten (10) business days after acceptance or rejection of any (if applicable) redress offer, whichever is the first.

6.4. This may not always be possible, as the complexity of the complaint may sometimes take more time to fully investigate. In relation to a complaint, we will always comply with regulatory guidelines and, as such, we will always ensure that complainants are kept informed of their complaint and our activities in response to their complaint and updated without undue delay.

6.5. If, for any reason, the Company is not in a position to provide the Complainant with a final reply within eight (8) weeks of receipt of the complaint, the Company shall provide the Complainant with a statement of reasons and indicate when we expect to be able to respond.

7. MONITORING OF COMPLAINTS

For individual complaints, we keep detailed records. In addition, we maintain an internal complaint registry in which all the related details and progress of each complaint is stored.



8. OUR RIGHT TO PROCEED WITH THE RECOVERY OF DEBTS

8.1. The Complaint Management Process above does not apply to money owed to us by you.

8.2. In order to recover any debts payable to us in court, we can take immediate action.

9. INTERIM RELIEF-INJUNCTION RELIEF

9.1. Nothing set out herein shall prohibit any Party from seeking interim or injunction relief before a court.

9.2. Each Party recognizes that a violation of the terms of this Agreement can cause irreparable harm and damage to the other Party and, therefore, any such violation, in addition to any other rights and remedies that may be available to either Party under the applicable law or in court, may be enjoined by injunction proceedings.