

November 2022

License no. GB21027161

UNI FIN INVEST

Customer Complaint Policy

Version 1.0

1. Introduction

This Policy regulates effective, clear and fast handling of complaints and disputes submitted to the Company in relation to the performance and procedures of the Company.

UNI FIN INVEST is an Investment Dealer (Full-Service Dealer, excluding Underwriting), regulated by the **Financial Services Commission ('FSC') in Mauritius** under the license number **GB21027161** (hereinafter referred to as "**UFI**" or the "**Company**").

The Company must develop and put into practice an independent and objective complaints resolution system, as provided below.

2. Submitting a Complaint

The complainant, if possible, should report the event or the date of the occasion subject of the complaint to the Company, as soon as possible. This is necessary to enable the Company to investigate the complaint as efficiently as possible. The Company's Compliance Officer shall be responsible for handling complaint reviews. All clients' complaints against the Company shall be directed to compliance@uni-markets.com

3. Registration of Complaints

The Company shall maintain a complaints' register (the "**Complaints Register**") to record all complaints received. The record shall include the date on which the complaint has been made, date acknowledged, category of complaints and actions taken.

The Company pays special attention to avoid collection of data about the complainant with the exception of recording data aimed to settle the complaint.

Furthermore, the Company manages complaints within a transparent system; complaints shall be traced and administered in each and every stage of the procedure.

4. Managing Complaints

The Company deals with all complaints and all complainants equally, without any discrimination, in harmony with the procedure regulated by this Policy.

All complaints shall be taken seriously, handled transparently and promptly investigated. The Compliance Officer ('CO') shall ensure that all complaints be dealt with in an independent courteous and efficient manner and resolved within thirty (30) days.

No complaint should be left unresolved and the date the complaint is "closed" should be noted on the complaint filing.

5. Response to Complaints

Receipt of complaints shall be acknowledged by the Company and be dealt with, within thirty (30) days.

Some complaints can be resolved more quickly depending on the facts and the nature of the complaint. If the complaint is more complex and takes longer than thirty (30) business days to resolve, we will communicate the reasons for such delay.

6. Monitoring of Complaints

After settling the complaint, the Company shall preserve every document related to complaints for a period of seven (7) years.

The Company shall be entitled to prepare statistics and reports about complaints, which will be aimed to improve the efficiency of administering complaints.

7. Settlement of Disputes

When the complaint is rejected, the complainant may lodge an appeal at the Financial Services Commission (Mauritius). More information can be found on the FSC's website here <https://www.fscmauritius.org/en/consumer-protection/complaints-handling>.