



IX SECURITIES LTD.

COMPLAINTS PROCEDURE POLICY

Prior to offering our services to you, we require you to read this Complaints Procedure Policy.

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1 SUMMARY OF COMPLAINTS PROCEDURE

- 1.1 We will acknowledge your complaint within 48 hours of receipt and let you know which senior person will be dealing with your complaint. We will investigate your complaint and endeavor to send a final response to you within fourteen (14) business days of receipt of your complaint. If we are unable to provide you with a final response within this time we will send you an update.
- 1.2 We will endeavor to send a final response to you within fourteen (14) business days of receipt of your complaint. If we are unable to provide you with a final response within this time frame, we will write to you explaining why and advise you when you can expect a final response.
- 1.3 If more than fourteen (14) business days from the date of your complaint has past and you did not receive a final response, or you are dissatisfied with the final response you have received from us, you are entitled to refer your complaint to the Securities Commission of The Bahamas (SCB). SCB can be contacted at: http://www.scb.gov.bs/e_complaints.html

Securities Commission of The Bahamas
Poinciana House, North Building, 2nd Floor
31A East Bay Street
P.O. Box N-8347
Nassau, Bahamas
Phone: 1 (242) 397 4100
Email: info@scb.gov.bs

2 INTRODUCTION

2.1 IX Securities Ltd. (“IX Securities”), is a registered trading name of IX Capital Group Limited, a company duly incorporated under the laws of the Commonwealth of The Bahamas and regulated by the Securities Commission of The Bahamas(‘SCB’) (Registration No. SIA-F188). We are authorized by the SCB to deal, arrange and manage securities Our registered office is located at No. 109 Church Street, Sandypoint, Marina Village, P.O. Box SP-62756, New Providence, The Bahamas.

3 INTERPRETATION OF TERMS

- 3.1 Unless indicated to the contrary, the terms included in this Policy shall have a specific meaning and may be used in the singular or plural as appropriate.
- 3.2 Client: **means the ‘client’ as defined in the ‘Client Agreement’ available online at www.ixsecurities.com**
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4 SCOPE OF THE COMPLAINTS HANDLING PROCEDURE

4.1 The Complaints **Handling Procedure (‘the Procedure’)** sets out the processes employed when dealing with complaints received by clients.

5 DEFINITION OF A COMPLAINT

- 5.1 A complaint is an expression of dissatisfaction by a client regarding the provision of investment and/or ancillary services provided.
- 5.2 A complaint shall include:
- **the client’s name and surname;**
 - **the client’s trading account number;**
 - the affected transaction numbers, if applicable; the date and time that the issue arose; and
 - a description of the issue.
- 5.3 A complaint must not include offensive language directed either to IX Securities or an **IX Securities’** employee.

6 PROCEDURE

- 6.1 All complaints must be in writing and shall be addressed, in the first instance, to the Customer Support Department. If the Client receives a response from Customer Support but deems that the complaint needs to be raised further the Client may either ask Customer Support to escalate it to the Compliance Department or directly contact Compliance (compliance@ixsecurities.com), which will independently and impartially investigate it.
- 6.2 Both the Customer Support Department and the Compliance Department shall thoroughly examine any complaints as required (taking into account any information contained within the books and records of the Firm, including but not limited to the **client's** trading account journal) to reach a fair outcome.
- 6.3 Both the Customer Support Department and the Compliance Department shall:
- send an initial response to the client within 48 hours;
 - resolve complaints as soon as reasonably practicable; and
 - inform the client accordingly.
- 6.4 All complaints shall be treated confidentially.

7 FAQs

- 7.1 Questions regarding this Procedure should be addressed, in the first instance, to the Customer Service Department.