



COMPLAINTS HANDLING PROCEDURE



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COMPLAINTS HANDLING PROCEDURE



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Introduction

ABET GLOBAL, operating as ABET GLOBAL and regulated by the Financial Services Commission ("FSC") in Anguilla, is a Securities Service Provider Licensee (referred to hereinafter as the "Company").

Scope of the Complaints Handling Procedure

This procedure outlines the processes for addressing complaints received from complainants.

1. Our Commitment

1.1. At ABET GLOBAL, we are dedicated to delivering timely, respectful, and informative responses to all interactions with the public. We highly value feedback from our customers, particularly the broader community, which sheds light on our strengths and areas for improvement.

1.2. Acknowledging that challenges can arise in any organization, we are open to addressing instances where our service falls short of our standards. Such feedback provides us an opportunity to rectify and learn from our mistakes.

1.3. As part of our commitment to exceptional client service, we uphold transparent and effective complaint handling procedures. We maintain comprehensive records of complaints and the steps taken for resolution, adhering to relevant laws, rules, and regulations.

2. Defining a Complaint

In line with the above, we investigate complaints, disputes, or discrepancies when they are submitted in written form and adhere to the Complaint Handling Procedures outlined herein. This pertains to alleged mala dministration in one or more of the following contexts:

a) Alleged injustices related to our alleged maladministration in:

- i. Your Account(s) with us and/or the Transactions and/or Contracts therein;
 - ii. Your rights under our 'Terms and Conditions,' 'Client Categorization Policy,' 'Order Execution Policy,' 'Conflicts of Interest Policy,' and 'Money Laundering Prevention Policy,' as outlined in the 'About Us section of our Online Trading Facility.
- b) Dissatisfaction with our response to a request for alternative service formats;
 - c) Denial of information requests regarding your Account and/or Transactions and/or Contracts;
 - d) Dissatisfaction with our response time to an inquiry;
 - e) Dissatisfaction with the quality of our services, considering the standards detailed in our 'Business Terms and Policies' on our Online Trading Facility.

3. How to Lodge a Complaint

3.1. Clients seeking to file a complaint should utilize either the Members Area or forward their complaint to the designated email address: complaints@abetglobal.com. The submission should include all relevant particulars. Our Compliance Officer will oversee the handling of all complaints, ensuring adherence to this procedure.

3.2. Upon receiving a complaint, we initiate a comprehensive inquiry, collating and assessing pertinent evidence and information related to the issue. To facilitate an efficient and impartial resolution, please provide the following details when submitting your formal complaint to the Compliance Officer:

- a) Trading Account Number;
- b) Date of initial occurrence;
- c) Brief synopsis of the complaint;
- d) Disputed amount and currency (if applicable);
- e) Attachments of relevant documentation or information;
- f) Any other pertinent information.

3.3. We will acknowledge your complaint within three (3) Business Days upon receipt. This acknowledgment confirms our commitment to address the issue and includes a timeline for our response. A unique reference number will be assigned to your complaint for future correspondence with our Company.

3.4. The acknowledgment response will furnish the Complaint Handling Procedure details, accessible on our website, as well as a complimentary copy of the procedure.

4. Our Approach to Addressing Your Complaint

4.1. Within fifteen (15) Business Days of receiving the complaint, we will send a second email outlining the investigation's progress, planned actions, preliminary findings, and any proposed redress, if appropriate.

4.2. This communication may also include our final response, when applicable.

4.3. Within eight (8) weeks of complaint receipt, or ten (10) Business Days of the acceptance or denial of redress (if applicable), ABET GLOBAL will send the complainant a final response.

4.4. Occasionally, the complexity of a complaint may necessitate a more comprehensive investigation, thus extending the resolution timeframe. Regardless, we prioritize adherence to regulatory guidelines, ensuring complainants receive timely updates on their cases.

4.5. If, for valid reasons, a final response cannot be provided within eight (8) weeks, the Company will elucidate the delay to the complainant, specifying an anticipated response date.

5. Monitoring Complaints

We meticulously document individual complaints and maintain an internal registry to monitor each case's progression.

6. Debt Recovery Rights

6.1. Notably, the Complaint Handling Procedure does not cover any outstanding debts owed to us.

6.2. We reserve the right to initiate legal proceedings for immediate debt recovery.

7. Interim and Injunctive Relief

7.1. The provisions herein do not preclude either Party from pursuing interim or injunctive relief through court proceedings.

7.2. Both parties acknowledge that a breach of this Agreement could result in irreparable harm. Thus, injunctive remedies may supplement other available rights and remedies under applicable law or equity.