



**AMEGA**

# **Complaints Handling Procedure**

*Effective December 5, 2022*

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## 1. Scope

- 1.1. The Complaint Handling Procedure (the 'Procedure') sets out the process adopted by Amega Global Ltd. (referred to as the 'Company') for the reasonable and prompt handling of complaints, disputes, or grievances received from Clients (referred to as the 'Client').
- 1.2. 1.2. For any capitalised term, which has not been defined in this Policy, please refer to the Glossary of the Company's 'Client Agreement'.

## 2. Definitions

- 2.1. An official complaint means a statement of dissatisfaction relating to the provision of investment services, addressed by a Complainant to the Compliance Department, as indicated in the Procedure.
- 2.2. Any clients' complaints will be investigated in a prompt way with the necessary attention. The main categories of complaints under which your potential dissatisfaction and/or complaint may fall are the following:
  - a. Execution of orders (e.g. delay in execution, re-quotes, slippage, erroneous trades etc)
  - b. Investment advice (e.g. unsuitable advice)
  - c. Quality or lack of information provided to the Client
  - d. Terms of contract/fees/charges (including withdrawal problems, cancellation of profits etc)
  - e. General administration/customer services (including custody/safekeeping services)
  - f. Unauthorised business being offered or carried out
  - g. Other (clients should specify any other reason which does not fall under any of the above categories)

- 2.3. The complaints must be directed by the complainant to the Company's Compliance Department by filling out the relevant forms (Form in Appendix 1 for Trading Operations complaints and Form in Appendix 2 for Non-Trading Operations complaints) and submit to the Company via email to [compliance@amegafx.com](mailto:compliance@amegafx.com).
- 2.4. In case the Company receives a notice through the line of communication established by the Company to receive complaints, but which does not fall within the definition of 'complaint' above and can be characterised as an enquiry; this shall be categorised as an enquiry rather than a complaint and will be forwarded to the relevant department to be handled accordingly. The complainant maintains the right to request for the re-classification of his enquiry as a complaint.

### 3. Procedure

- 3.1. The Compliance Department shall efficiently handle any complaint received by the complainants. In case that the complaint involves the Compliance Department, the complaint shall be handled by a member of the Senior Management.
- 3.2. Further to the above, the Compliance Department shall follow the procedure depicted below when handling complaints:
  - a. Once the complainant files a complaint, an electronic acknowledgement of receipt will be sent to the email address of the complainant to ensure that the Company has received the complaint and is currently working on a resolution.
  - b. The Company upon examining the complaint and upon reaching a decision in this respect, shall reply to the complainant with the remedial actions to be taken or provide further clarifications, and the reasoning behind the Company's decision, as applicable.
  - c. The Company shall document and keep in its records the following information:
    - I. The identity of the complainant who filed the complaint

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- II. The name of the employee who undertook to provide the service to the complainant
  - III. The date of receipt of complaint/enquiry
  - IV. The subject and full description of the complaint/enquiry
  - V. The remedial action taken and/or further clarifications provided to the complainant.
- 3.3. The Compliance Department shall make every effort to resolve the complaint within five (5) business days. When deemed necessary, the Compliance Department shall submit to the Senior Management the aforementioned details, for further investigation. In this case, the Company might take additional time to finalise the reply and therefore it shall duly notify the complainant about the causes of the delay and indicate when the Company's investigation is likely to be completed.
- 3.4. The Senior Management shall investigate further and coordinate with relevant heads of departments to attend to the subject of the complaint. A final response or a holding response will be sent to the complainant explaining the findings of the investigation. Where a holding response is warranted, the Company shall state the reasons why it has not been able to resolve the complaint and provide an indication of the time needed to resolve the issue.
- 3.5. In case the final decision does not satisfy the complainant's demands, the latter may maintain the complaint through the Financial Ombudsman of Mauritius via email at [ombudspersonfs@ofsmauritius.org](mailto:ombudspersonfs@ofsmauritius.org).

## 4. Reporting and record keeping

- 4.1. All decisions related to complaints shall be communicated to complainants in writing and copies shall be retained by the Compliance Department. All the documentation related to complaints shall be maintained for a period of at least five (5) years calculated after the

execution of the complaint and/or termination of the business relationship with the Client.

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## 5. Complaint forms

### Appendix I

#### Type: Trading operations

Name:

Surname:

Registered Email:

Account Number:

Date/Time of the disputed situation (in EET, Metatrader server time):

Number of all contested positions and/or pending orders:

Brief description of disputed situation:

Clause(s) in the current Order Execution Policy which, in the complainant's opinion, have been breached:

How you feel this dispute could be settled:

**Please accompany this form with a screenshot of your Trading Terminal if you feel it would further support your claim request.**

## Appendix II

### Type: Non-trading operations

Name:

Surname:

Registered Email:

Account Number:

Date/Time of the disputed situation:

Clause(s) in the client Agreement which, in the complainant's opinion, have been breached:

How you feel this dispute could be settled:

**Please accompany this form with a screenshot of your Trading Terminal if you feel it would further support your claim request.**