

COMPLAINT HANDLING FORM

Argus Stockbrokers Ltd
Metropolis Tower, 1st & 2nd Floor
25 Demostheni Severi Ave., 1080, Nicosia, Cyprus

Κ.Ε.Π.Ε.Υ. 010/03 Member of the CSE, ASE & ADEX
Regulated by the Cyprus Securities & Exchange Commission

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COMPLAINT HANDLING FORM

Argus Stockbrokers Ltd is an Investment Firm incorporated and registered under the laws of the Republic of Cyprus, with registration number HE 108270. The Company is authorised and regulated by the Cyprus Securities and Exchange Commission (hereafter the “CySEC”) under the license number 010/03.

The Company has appointed a Compliance Officer in order to be able to handle any complaints from the clients and also to resolve and apply mandatory measures and controls in order to avoid such recurring issues.

Definition of a complaint

A client’s complaint is defined by the Company as an objection and/or dissatisfaction that the Client may have in regards to the provision of investment and/or ancillary services provided by the Company.

Procedure

The Company’s objective is to provide the best level of service to its clients. However, if you feel you have a complaint about the financial services provided by the Company you should write to the Compliance Officer at the address shown below, setting out the full details of your complaint:

25 Dimostheni Severi Ave,
Metropolis Tower 1st and 2nd Floor
1080, Nicosia
Cyprus

Or by phone: 00357 22717000

Or by email: argus@argus.com

Please note that the Compliance Officer is responsible for handling the client complaints unless the complaint involves the Compliance Officer where the Managing Director is then responsible.

To help us investigate your complaint as quickly and efficiently as possible, please provide us with your name and address, a daytime telephone number on which we can contact you, and if contacting us in writing, your account details. Please provide a clear description of your complaint, and what you would like us to do to resolve it.

When the Compliance Officer receives the client's complaint then a written acknowledgement will be sent to the client within the next 48 hours.

Within the period of 4 weeks from the date that the Compliance Officer receives the client's complaint, a final response or a holding response will be sent to the client explaining the findings of the investigation.

If after 8 weeks of receiving the complaint the Company is still not in a position to resolve the issue then the Compliance Officer will inform the client in writing stating the reasons for the delay and indicating an estimated time to resolve the issue.

When the client receives the final response he will have 8 weeks to respond otherwise, if there is no response from the client then the complaint will be considered as resolved.

Version: 31 May 2017

CLIENT COMPLAINT FORM

A. Client Information :

| | |
|----------|-------------------|
| Name: | Account Number: |
| Address: | Telephone Number: |

B. Brief Summary of the Complaint:

Please describe the product or service you are complaining about (*description, evidence, amount and what you would like us to do to resolve it*):

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Please enclose any relevant documentation that may help us in dealing with the complaint.

Date and place

Client Signature

| | |
|--------------------------------------------------------|-------------------------------------------------------------------------------------------|
| <u>For internal use only:</u> | |
| Complaint Received By: | Date: |
| Acknowledgement sent to Client within 48hrs: | <input type="checkbox"/> Yes - <input type="checkbox"/> No |
| Informed Client of initial action: | <input type="checkbox"/> Yes - <input type="checkbox"/> No |
| Final response provided to Client within 4 weeks: | <input type="checkbox"/> Yes - <input type="checkbox"/> No |
| Holding response provided to Client: | <input type="checkbox"/> Yes - <input type="checkbox"/> No - <input type="checkbox"/> N/A |
| List of further actions taken as per holding response: | |
| | |
| Signature of compliance officer: | Date: |

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