

# COMPLAINT POLICY



# COMPLAINT HANDLING POLICY

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# CONTENT

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DEFINITION

PROCEDURE

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Stock Stack Trade – Stock Group Limited (hereinafter the ‘Company’) aims to provide superior investment and ancillary services to all of its Clients.

The Company has appointed a Compliance Officer or any of the company’s Administrator to efficiently handle any complaints from the Client. This is to allow Company to resolve and apply mandatory measures to avoid any recurring issues and improve the client satisfaction.

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## **DEFINITION**

The Company classifies a complaint as any objection and/or dissatisfaction that the Client may have with regards to the provision of any investment and/or ancillary service provided by the Company.

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## **PROCEDURE**

The Compliance Officer shall be responsible for handling Client complaints, except in the case where the complaint involves the Compliance Officer or any of the company’s Administrator, whereby the complaint shall be handled by the Managing Director.

The Client may register a complaint using any of the following options:

Email: [Contact@stockstack.trade](mailto:Contact@stockstack.trade)

Any Client’s complaints received will be forwarded to the Compliance Officer or any of the company’s concerned Administrator.

When the Compliance Officer or any of the company’s Administrator receives the Client’s complaint then a written acknowledgement will be sent to the Client confirming the name and job title of the person dealing with the complaint within 5 business days.

Within 2 weeks from the date that the Compliance Officer or any of the company’s Administrator receives the Client’s complaint, then a final response or a holding response will be sent to the Complainant explaining the findings of the investigation. In the case where a holding response is sent to the Complainant, then an explanation shall be given stating the reasons why the Company has not been able to resolve the complaint as well as giving an estimated time to resolve the issue.

In 4 weeks after receiving the complaint we are still not in the position to resolve the issue, then the Compliance Officer or any of the company’s Administrator will notify you in writing stating the reasons for the delay and indicate an estimated time to resolve the issue.

When the complainant has received the final response, he/she will have 4 weeks to respond. If no response has been received from the complainant indicating that he/she is still dissatisfied with the explanation, then the Complaint will be considered as being resolved.

In the case where the complainant is still not satisfied with the Company’s responses after three (3) attempts, then the complainant can bring his/her complaint to the Financial Conduct Authority (FCA) U.K

In summary, it is generally advised that any form of complaint be first related to any of the company's Administrator who is easily within your reach.

This is so as to ensure that complaints are directly dealt with as even if the supposed issues at hand is beyond the jurisdiction of the Administrator it was reported to directly, the Administrator will have it directed immediately to the compliance department tagging it as “ **URGENT**”.

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