



COMPLAINT HANDLING AND RESOLUTION POLICY

RTW Brokers, a sub – financial institution – hereinafter the ‘**Firm**’ – aims to provide the best and superior financial, trading, investment and ancillary banking services to all of its “**Clients**”.

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

DESCRIPTION

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

It should be clarified that complaints may relate to the operational support part of providing a financial service and not limited to only the execution of an investment service; for instance, a complaint may relate to a delay in payment to a client of the funds credited to the client’s account from transactions or it may relate to delays in making available to the client, statement of account.

PROCEDURE TO RESOLVING A COMPLAINT

All written complaints must be investigated carefully with a view to producing prompt written response or feedback either in resolution or acknowledging the filed complaint, proposed written complaints to clients must also, be reviewed and cleared by the **Compliance Department**.

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 Firm’s Administrator, whereby the complaint shall be handled by the Managing Director.

The Client may register a complaint by sending a mail or using either of the following options:

SUPPORT @ RTWBROKERS.COM

Or the affected client should visit our official website and make a complaint through our web-based Administrator:

WWW.RTWBROKERS.COM

Upon receiving of formal written complaint, there are certain details which must be captured in order to facilitate the resolution of the said complaint or residing issue. These details include all of these:

- Identity of the affected client;
- Nature of the filed complaint – details of specific transactions where relevant;
- Time and date of receipt of complaint;
- Any initial response or reply made;
- Measure taken prior to filing the formal complaint;
- Measure taken for the resolution of the complaint;
- The service to which the complaint pertains;
- The particulars of the Firm's employee responsible for the services rendered to the client which caused the issue in question.

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

When the Compliance Officer or any of the Firm'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 **seven (7)** business days.

Within **three (3)** weeks from the date that the Compliance Officer or any of the Firm'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 Firm has not been able to resolve the complaint as well as giving an estimated time to resolve the issue.

In **three (3)** weeks after receiving the complaint we are still not in the position to resolve the issue, then the Compliance Officer or any of the Firm'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 or she will have **five (5)** weeks to respond. If no response has been received from the complainant indicating that he or 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 Firm's responses after **four (4)** attempts, then the complainant can bring his or her complaint to any posing **Financial Regulatory Agency or Board**

Failure to attend to complaints or resolve the complained issues to the client's satisfaction or better understanding puts the Firm and likely, its affiliates at substantial regulatory, business, financial, operational or reputational risks.

By involving the compliance department at any stage will ensure that the regulatory departments are met and that the Firm's legal position is protected in any legal proceedings and that litigation may arise. Failure to follow these procedures may lead to disciplinary action against the firm as well as potentially weaken the Firm's case in any litigation.

In summary, it is generally advised that any form of complaint be first related to any of the Firm'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.

OTHER INFORMATION

Any other queries about this policy – complaint handling policy – should be directed to the **Compliance Unit**.



RTW BROKERS LLC

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