

## **COMPLAINTS HANDLING PROCEDURE**

Below you can find a detailed outline of our Complaints Handling Procedure, which should be followed in the event that you wish to file a complaint with the company at any time.

If we are unable to answer your question or you feel that our answer is unsatisfactory, you may file an official complaint, free of charge, by filling in the form found in user account and selecting the option most applicable to your complaint.

We will investigate your complaint and endeavor to address your complaint and provide you with a response within 5 business days following the day on which it is received. We will carry out an impartial review of the complaint with a view to understanding what did or did not happen and to assess whether we have acted fairly, within our rights and have met our contractual and regulatory obligations.

We will endeavor to send the complaint and receive confirmation of your agreement to the resolution within 5 business from the date of your complaint, a written response will be sent to you by the end of the 5th business day, confirming the agreement.

In the event that we are unable to resolve the complaint within 5 business days, a full and final written response will be provided no later than eight weeks from the date that we received the complaint.

## **INTERPRETATION OF TERMS**

Unless indicated to the contrary, the terms included in this Report shall have a specific meaning and may be used in the singular or plural as appropriate.

Client Means the client as defined in the Client Agreement available online at <https://www.apex360.io>

## **SCOPE OF THE COMPLAINTS HANDLING PROCEDURE**

The Complaints Handling Procedure (the Procedure) sets out the processes employed when dealing with complaints received by clients.

## **DEFINITION OF A COMPLAINT**

A complaint is an expression of dissatisfaction by a client regarding the provision of investment and/or ancillary services provided by Apex360.

A complaint shall include:

the clients name and surname.

the clients trading account number.

the affected transaction numbers, if applicable.

the date and time that the issue arose; and

a description of the issue.

A complaint must not include:

offensive language directed either to Apex360 or a Apex360 employee.

## **PROCEDURE**

All complaints must be in writing and shall be addressed, in the first instance, to the Customer Support Department. If the client receives a response from the Customer Support Department but deems that the complaint needs to be raised further, the client may either ask the Customer Support Department to escalate it to the Compliance Department or directly contact the Compliance Department ([compliance@thewallstreetexchange.io](mailto:compliance@thewallstreetexchange.io)), which will independently and impartially investigate it.

Both the Customer Support Department and the Compliance Department shall thoroughly examine any complaints as required (taking into account any information contained within the books and records of the Firm, including but not limited to the clients trading account journal) to reach a fair outcome.

Both the Customer Support Department and the Compliance Department shall: (i) send an initial response to the client within 48 hours, (ii) resolve complaints as soon as reasonably practicable and (iii) inform the client accordingly.

All complaints shall be treated confidentially.

## **FAQS**

Questions regarding this Procedure should be addressed, in the first instance, to the Customer Service Department.

## **CONTACTS**

Customer Support Department E-mail: [support@apex360.io](mailto:support@apex360.io)