

AISA
COMPLAINTS MANAGEMENT POLICY

1. General

AISA International Group Limited, hereinafter referred to as the “Company”, maintains effective and transparent procedures for the reasonable and prompt handling of complaints received from complainants and keeps records of each complaint as well as the actions taken to remedy the situation.

2. Definition

A complaint, is a statement of dissatisfaction addressed to the Company by a natural or legal person relating to an investment service provided by the Company.

A complainant, is any person, natural or legal person who is presumed to be eligible to have a complaint considered by a firm and who has already lodged a complaint.

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 the following methods:

- a. By email: support@aisafx.com

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 characterized as an enquiry; this shall be categorized 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

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.

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. The Company should also provide to the complainant via this email; a reference number of the complaint for future reference.
- 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
 - 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

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 finalize 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.

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.

In case the final decision does not satisfy the complainant's demands, the latter may maintain the complaint through the Financial Ombudsman, the St Vincent & The Grenadines Financial Services Authority (SVGfSA) or the relevant courts.

Further information about the procedures for communicating with the Financial Ombudsman, can be found at www.financialombudsman.gov.cy.

It should be noted that SVGfSA has no restitution powers. Any disputes for which damages are claimed, should be submitted to the Financial Ombudsman.

4. Reporting and Record Keeping

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.

5. Complaint Forms

Appendix 1

Type: Trading Operations

Name:

Surname:

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 2

Type: Non-Trading Operations

Name:

Surname:

Email:

Account number:

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

Description of disputed situation:



Clause(s) in the Regulations on Non-Trading Operations which, in the complainants 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.

A large, light gray watermark of the AISA logo is centered on the page. It consists of the letters 'AISA' in a bold, sans-serif font, with a red, curved swoosh underline under the letter 'A'.