

# **KANAK CAPITAL MARKETS COMPLAINTS HANDLING PROCEDURE**

**Latest Updated in February 2025**

At Kanak Capital Markets, we are committed to providing exceptional service to our clients and resolving any concerns or issues promptly and fairly. This Complaint Handling Policy outlines our approach to managing complaints effectively while ensuring transparency, fairness, and responsiveness.

## **1. Purpose**

The purpose of this policy is to ensure that complaints are handled in a consistent, fair, and transparent manner, with the goal of resolving issues to the satisfaction of our clients. We value client feedback as it helps us improve our services and maintain high standards of business conduct.

## **2. Definition of a Complaint**

A complaint is any expression of dissatisfaction made by a client regarding the Company's products and services, operations, or any other aspect of our business. This may include, but is not limited to, concerns related to service delivery, product quality, employee conduct, or business procedures.

## **3. Complaint Submission**

Clients can submit complaints through email at [complaints@kanakmarkets.com](mailto:complaints@kanakmarkets.com)

## **4. Receiving of a Complaint**

Upon receiving a complaint, our dedicated team will thoroughly review its nature and complexity. Our review process is designed to ensure that we understand all aspects of the complaint, allowing us to address it effectively and efficiently.

## **5. Investigation of a Complaint**

The Company will undertake an internal investigation of the complaint, including gathering relevant information, speaking to any involved parties, and assessing the facts. The investigation will be conducted with the goal of fully understanding the issue and identifying a fair resolution.

## **6. Resolution**

We will aim to resolve the complaint in a fair and reasonable manner, taking into consideration the details of the complaint, the impact on the client, and any applicable regulations or policies.

## **7. Record Keeping**

All complaints will be documented and maintained in accordance with internal record-keeping procedures. This documentation will include details of the complaint, the investigation process, and the resolution. Records will be kept confidential and stored securely.

## **8. Continuous Improvement**

We value client feedback and view complaints as an opportunity to improve our services. We will periodically review complaint trends and outcomes to identify areas for improvement and ensure that any recurring issues are addressed in a timely manner.

## **9. Escalation**

The company can escalate the issue to the Compliance Department, depending on its complexity. We will ensure the issue is forwarded to the Compliance Officer, who will take the necessary steps to have the matter reviewed and addressed by the Company's Management.

## **10. No Time Bound Obligation**

While we aim to address and resolve complaints as efficiently as possible, there are no strict time-bound obligations on us for handling complaints. Each complaint will be handled based on its complexity, the information required, and the circumstances surrounding it. We are committed to providing a thorough review and response to all complaints.

## **11. Confidentiality**

We take client confidentiality seriously and will handle all complaints in a confidential manner, ensuring that only authorized individuals are involved in the investigation and resolution process.