

# Complaints Procedure

We, **KEY WAY MARKETS LTD** (hereinafter, the “Company”), have adopted this Complaints Procedure in order to ensure a fair and quick process for handling complaints that may arise from our relationship with you. This Complaints Procedure is made available to you free of charge and upon request.

**KEY WAY MARKETS LTD** operating trade name “CAPEX.com/ae” is incorporated in Abu Dhabi Global Market (ADGM) under Company Registration Number 000003041 and licensed and regulated by the ADGM Financial Services Regulatory Authority (License no. 190005) of the United Arab Emirates, having its registered address at Al Sila Tower, 21st Floor, Office No. 2, ADGM Square, Al Maryah Island, Abu Dhabi - UAE.

## 1. Submitting your Complaint

You may submit your complaint in writing and addressed to the **Complaints Management Function** of the Company who is authorized to handle and investigate complaints that may be submitted to them from our Clients.

You are encouraged to use the **Complaints Form** attached herein and submit it electronically at the following email address: [info@keywaymarkets.com](mailto:info@keywaymarkets.com)

## 2. Acknowledging your Complaint

We will acknowledge receipt of your complaint in writing within seven (7) days from the receipt of your complaint and provide you the unique reference number of your complaint. The **unique reference number** should be used in all your future contact with the Company regarding the specific complaint.

## 3. Handling of your Complaint

Once we acknowledge receipt of your complaint, we will review it carefully, investigate the circumstances surrounding your complaint and will try to resolve it without undue delay.

We shall make every effort to investigate your complaint and provide you with the outcome of our investigation within two (2) months from the date you have submitted your complaint to us.

During the investigation process will keep you updated on the handling process of your complaint (within the 1<sup>st</sup> month). One of our officers may contact you directly (including communication by email or phone) in order to obtain, where needed, further clarifications and information relating to your complaint.

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Please note that the Company shall consider your complaint as closed and cease the relevant investigation in case you fail to respond to our officers within the period of three (3) months from the date of the submission of your complaint.

#### 4. Final Decision

When we reach an outcome, we will inform you of it together with an explanation of our position and any remedial measure we intend to take (if applicable). We will ensure we comply with any terms of redress promptly.

It is understood that your right to take legal action remains unaffected by the existence or use of any complaint's procedures referred to above.

If you are not satisfied with the Company's final decision you may submit your complaint to other independent bodies such as an external dispute resolution scheme, arbitration or the Regulatory Committee, Appeals Panel or Court in the ADGM.

## COMPLAINTS FORM

This is the form you need to fill in if you wish to submit your complaint to KEY WAY MARKETS LTD (the “Company”). Complete, up-to-date as well as accurate information is required to be provided to the Company for the proper investigation and evaluation of your complaint.

Please note that the below Complaint Form is only indicative and not exhaustive. The Company may request further information and/or clarifications and/or evidence as regards to your complaint.

Please provide the following in order for us to consider and investigate your grievance and take appropriate remedial action.

| 1. Details of the Person(s) or Organisation(s) filing the Complaint (“the Complainant”). |                                       |
|--|---------------------------------------|
| <b>Full Name:</b><br>.....   | <b>Phone No:</b><br>.....             |
| <b>Client ID:</b><br>.....   | <b>Email ID:</b><br>.....             |
| <b>ID/Passport Number:</b><br>.....  | <b>Country of Residence:</b><br>..... |
| <b>Residential Address:</b><br>.....   |                                       |
| <b>Mailing Address:</b><br>.....   |                                       |

Relationship with Key Way:

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**2. Please provide details of your complaint and attach additional sheets if required.**

Complaint Details:

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Desired / Requested Outcome:

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**Attachments (if any):**

- 1. ....
- 2. ....
- 3. ....
- 4. ....

**3. Submission of Complaint and Key Way’s Complaints Handling Procedures.**

You can submit your complaint to Key Way Markets Limited, addressed to the SEO/Compliance Department by the following modes, on the address provided below:

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|--|---|
| <p><b>Attn: The SEO/Compliance Department</b></p> <p>Key Way Markets Limited<br/>Al Sila Tower, 21st Floor, Office No. 2,<br/>ADGM Square, Al Maryah Island, Abu Dhabi, UAE</p> <p>Email: <a href="mailto:support.ae@capex.com">support.ae@capex.com</a><br/>Tel No: +971 2 245 5150</p> | <p>Please select the mode of submission of your Complaint:</p> <p>By Post <input type="checkbox"/>    By Hand <input type="checkbox"/>    By Email* <input type="checkbox"/></p> <p>*Note: If you submit your complaint through email, you must submit: an electronic scan of your signature; or alternatively, if emailed without scan, you may send a signed version of the complaint through post, fax, or hand delivery at the same time as sending your email.</p> |
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Please Confirm if you would like to receive a copy of Key Way’s Complaints Handling Procedures (free of charge) – If yes, please provide the preferred mode of delivery:

Yes     No     Mode of Delivery: .....

**4. Declaration and Signature**

I certify that the information provided on this form is true and correct to the best of my knowledge.

|                |                     |
|----------------|---------------------|
| Date:<br>..... | Signature:<br>..... |
|----------------|---------------------|