



## Complaints and Dispute Resolution Policy

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Direkt Prime (“DP”) is a trading name of RGL Capital (Mauritius) Ltd, a company incorporated in Mauritius under company number 120722 and FSC registration number C114012695 (the “Company”), whose registered office is at 18 Edith Cavell Street, Port Louis, 11302, Mauritius. At DP, we are always keen to hear the views of our customers about our performance generally.

We recognise that, as in all organisations, from time-to-time things can go wrong and we may not provide the standard of service that we have set ourselves. We are especially keen to hear about such instances, since they provide us with an opportunity to put things right and to learn.

Accordingly, as part of our commitment to providing the best possible service to our clients, we uphold effective and transparent procedures for prompt complaint handling for existing and potential clients, we maintain records of complaints and measures taken for complaint resolution, in line with the Applicable Mauritius Laws, Rule and/or Regulations.

## Inquiries and Complaints

**Inquiries:** If you are disappointed with the Company’s services, or you would like assistance with inquiries of a general nature, regarding your account or trading activity with us, you may contact our Customer Support Department via live-chat, email or telephone. Inquiries can be received via phone, letter, email or by any other form of communication. You must tell us as soon as possible about any dispute – the sooner you inform us, the easier it will be to resolve the matter. In the first instance, you should try to resolve your dispute through the usual customer service channels, as they are able to resolve the vast majority of disputes and very often issues arise as a result of misunderstandings and can be easily resolved.

You will be asked to provide full details of your issue (for example the date and time of the disputed trade). The more information you can provide, the easier it will be to resolve the matter. Customer services will endeavour to resolve all such matters as soon as possible but in any event within two business days.

If our customer services team is unable to resolve the matter or you feel that our service has not met your expectations and you wish to make a formal complaint, you may raise this further with the Compliance Department following the process indicated in the following section. Their role is to independently review all complaints constructively and sympathetically, ensuring that where we are at fault, things are put right at the earliest opportunity.

### **Submitting a Complaint:**

An official complaint means a statement of dissatisfaction addressed to the Company by a complainant (natural or legal person) relating to the provision of investment services. Only a complaint submitted via the following ways shall be recorded as a Complaint by the Company and will be handled as such.

You may submit your complaint addressed to the Compliance Department of the Company who is authorized to handle and investigate complaints that may be submitted by the Company’s clients by submitting the Complaint Form (“Appendix 1”), in writing and address it to the following email address: [compliance@direktprime.com](mailto:compliance@direktprime.com).

### **Acknowledging your Complaint:**

We will acknowledge receipt of your complaint within two business days (2) 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.

## Final Decision

Upon conclusion of the investigation process, a final response is provided to you, together with an explanation of our position and any remedial measures we intend to take (if applicable).

During the course of investigating your complaint, our officers may be required to contact you directly requesting for further details and/or supportive documentation. We will require your full cooperation in order to expedite the investigation and possible resolution of your complaint.

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.

In the event that your complaint requires further investigation, and we cannot resolve it within two (2) months, we will provide the reasons for the delay and indicate when the Company's investigation is likely to be completed. Accordingly, and upon its discretion, the Company has an additional month to resolve a complaint, if it is unable to resolve a complaint within two (2) months, depending on the complexity of the case and your cooperation.

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.

If you do not feel that your complaint has been resolved satisfactorily, you may then refer your complaint to the Financial Services Commission of Mauritius. Please see below the relevant contact details:

Address: Office of Ombudsperson for Financial Services, 8th Floor, SICOM Tower, Wall Street, Ebene Cybercity 72201

Website: [Complaints Handling - Financial Services Commission - Mauritius \(fscmauritius.org\)](https://www.fscmauritius.org)

## Appendix 1 - Complaints Form

This is the form you need to fill in if you wish to submit your complaint to RGL Capital (Mauritius) 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 Complaints Form is only indicative and not exhaustive. The Company may request further information and/or clarifications and/or evidence as regards your complaint.

#### CLIENT INFORMATION

<b>DATE:</b>	
<b>Name:</b>	
<b>Surname:</b>	
<b>ID or Passport Number:</b>	
<b>Country of Nationality:</b>	
<b>Legal Entity Name (if Corporate Client):</b>	
<b>Account Number:</b>	

#### CONTACT DETAILS OF THE CLIENT

<b>Postal Address:</b>	
<b>City/Province:</b>	
<b>Code:</b>	
<b>Country:</b>	
<b>Telephone Number:</b>	
<b>Email Address:</b>	

#### DETAILS OF THE COMPLAINT

<b>Date when the Complaint was created:</b>	
<b>Employee who offered the services to the Client (if applicable):</b>	

<b>Description of the Complaint:</b>	
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I hereby certify and confirm that to the best of my knowledge, the information furnished above is true, accurate, correct, and complete