



## Complaint Handling Form

Vs 1.0 May 2020

Company name: POSHTRADER OÜ

Registration number: 14644095

LEI code: 984500B8FA2C7FDA8773

## COMPLAINT HANDLING FORM

Poshtrader - trade name of Poshtrader OÜ (hereinafter called the “Company”), whose headquarters are at Kõrtsu tee 2, Liikva, Harku vald, Harjumaa, 76921, Estonia.

The Company is committed to promptly and efficiently handle all Client’s complaints or grievances.

Clients may submit their complaints or grievances, using the “Complaint Form”, to the Compliance department. The “Complaint Form” may be submitted to the Company by email or by post.

The Compliance department is responsible for handling customers’ complaints or grievances. The duties of the Compliance department include the effective and efficient handling of customer complaints or grievances so as to enable the Company to adopt and apply the required actions to prevent the repetition of the same complaints or grievances.

If the complaint or grievance involves the Compliance department then it is handled by the CEO or CTO of the Company.

The Company shall maintain effective and transparent procedures for the prompt handling of complaints or grievances received from Clients. The Company shall keep a record of each complaint or grievance as well as the measures taken for the complaint’s/grievance’s resolution. The Company will issue a unique reference number upon review of the submitted form. The Client should use this unique reference number in all future contact with the Company.

The Company’s policy is to acknowledge to the Client receiving of the complaint within 5 working days and try to resolve the complaint/ grievance within this timeframe. When deemed necessary, the Head of the Department shall submit to the Senior Management the aforementioned details, for further investigation. The Senior Management shall fully investigate the complaint/ grievance in coordination with the heads of the involved departments. Within two (2) months from the date of receipt of the complaint, a final response will be disseminated to the Client analyzing the findings of the investigation.

In the event that the Company is unable to respond within the two (2) months period, it will inform the complainant of the reasons for the delay and indicates an estimated period to complete the investigation, which will be no longer than three (3) months from the submission of the complaint.

If the complaint involves the Compliance department then the “Complaint Form” shall be submitted to the CEO or to the CTO to the following address: [info@poshtrader.com](mailto:info@poshtrader.com)

## COMPLIANCE DEPARTMENT

Email: [support@poshtrader.com](mailto:support@poshtrader.com)

Address: Kõrtsu tee 2, Liikva, Harku vald, Harjumaa, 76921, Estonia

## COMPLAINT FORM

Way of Communication:		Electronically <input type="checkbox"/>	Telephone <input type="checkbox"/>	Letter <input type="checkbox"/>
<b>Client details</b>				
Name:		Surname:		
Legal Entity Name:				
Address:				
Post Code:		City:		Country:
Telephone Numbers:	Home:	Work:	Mobile:	Fax:
Email:				
<b>Brief Summary of the complaint</b>				
Description of product or service and/or department and/or employee you are complaining about (description, evidence, magnitude of damage and suggested way to be solved):				
<b>Please enclose any other relevant documentation that may help us to handle the complaint.</b>				
Signature:		Date:		

**For internal use only**

Complaint received by: .....

Date of reception: ..... / ..... / .....

Reference number: .....

Department involved: .....

Employee involved: .....

Initial response to client: \_\_\_ Yes, \_\_\_ No                      Date: ..... / ..... / .....

Initial Action Taken: .....

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Informed client of initial action taken: \_\_\_ Yes, \_\_\_ No                      Date: ..... / ..... / .....

Further Action Taken: \_\_\_ Yes, \_\_\_ No                      Date: ..... / ..... / .....

Further Action Taken:

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File handed on to Compliance Officer: \_\_\_ Yes, \_\_\_ No                      Date: ..... / ..... / .....

Settlement of complaint: \_\_\_ Yes, \_\_\_ No                      Date: ..... / ..... / .....

Summary of how the complaint was settled: .....

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Signature of responsible Officer: .....                      Date: ..... / ..... / .....