



Complaints Instruction form

August 2022

Complaint Instruction form

Amana Capital Ltd is authorised and regulated by the Cyprus Securities and Exchange Commission (license no. **155/11**) with registration number HE 281953.

The company classifies a complaint as any objection or dissatisfaction that the client may have with regards to the provision of any investment or ancillary service provided by the company.

Completing the complaint form

PLEASE READ CAREFULLY. We are best able to assist you with your complaint if you do the following:

1. Answer all questions giving full name, title, address and phone number(s). Provide summary of the facts describing the nature of the complaint and state the desired resolution as appropriate. Your signature is required to process your complaint.
2. Attach scanned copies (or hard copies if via post) of any letters, documents, contracts or receipts relating to your complaint. Email (or post) your complaint Form (as per below) together with any attachments to the email address (postal address) provided in the complaint Form
3. Your complaint will be first received and dealt with by Head of Administration/Back Office Officer and if needed, will be escalated to the Compliance Officer. The complaint can be escalated to the General Manager if the nature of the complaint requires his involvement and/or where the complaint involves the Compliance Officer.
4. You shall receive – within five days - an email from the Company acknowledging receipt of your complaint and providing you with a “unique complaint reference number”. Kindly make sure you use that reference number in all future communication with the Amana and/or CySEC and/or Financial Ombudsman regarding your specific complaint.
5. The Company is responsible for ensuring that you receive a written final response in reply to the Complaint filed two (2) months from receipt of the complaint. The timeframe of two months may be extended for an additional month in case more time is required for the investigation. In such cases the Company shall issue a holding response in writing or other durable medium. When a holding response is sent, it will inform you of the reasons for the delay and indicate the period of time within which it is possible to complete the investigation, usually no later than one (1) month from the issuing of the holding response.
6. During the investigation, the Company shall keep you updated of the handling process of your complaint.
7. If a situation arises which is not expressly covered by Amana Capital Ltd Agreement, the Parties agree to try to resolve the matter on the basis of good will and fairness and by taking such as in consistent with market practice.

8. All decisions relating to your complaint or grievances are communicated to you in writing (including electronic email) and copies are saved in our records. The Company shall maintain record of all complaints for a minimum period of five years after the closure of the client's trading account. The responsible department shall be the Compliance Department.
9. Our ability to assist you will depend upon your giving us a complete and detailed statement.
10. Your right to take legal action remains unaffected by the existence or use of any complaint procedures referred to above.

You may register a complaint using one of the following options:

Email: complaintcy@amanacapital.com
Fax: 00357 25 253134
Postal Address: Kristelina House 302, 3rd Floor, Archiepiskopou Makariou III,
Mesa Geitonia 4000, Limassol/Cyprus

Alternatively, should you still remain dissatisfied following our final response, you can refer your case to the Financial Ombudsman of the Republic of Cyprus. This is an independent organisation set up to resolve disputes/complaints between investors and Cyprus Investment Firms ("CIF").

Please note that the Financial Ombudsman of the Republic of Cyprus encourages investors to contact them only after Amana has been given the opportunity to resolve your complaint. Their contact details are as follows:

The Financial Ombudsman of the Republic of Cyprus

Address: 13 Lord Byron Avenue, 1096 NICOSIA
Phone: 00357 22 848900 (main number)
Facsimile (Fax): 00357 22 660584, 00357 22 660118

Email: Complaints: complaints@financialombudsman.gov.cy
Financial Ombudsman: fin.ombudsman@financialombudsman.gov.cy
Website: www.financialombudsman.gov.cy

You may contact Financial Ombudsman within 4 months after we have provided our final response to you regarding your complaint, or in the unlikely event we have not responded to your complaint, you may contact the Financial Ombudsman after 3 months have elapsed since the date of submitting your complaint to us.

You may also maintain your complaint with the Cyprus Securities and Exchange Commission, however please note that the Cyprus Securities and Exchange Commission does not have restitution powers and therefore does not investigate individual complaints.

Further information as to the procedure you need to follow can be found on:

<https://www.cysec.gov.cy/en-GB/complaints/how-to-complain/>

Client complaint form

A. Your Information

Account number at Amana: _____
Name: _____
Surname: _____
Address: _____
Home phone: _____
Cell phone: _____
Email address: _____

B. Brief summary of the complaint/grievance:

Kindly provide a brief factual description of the problem you experienced. To assist in reviewing your complaint, please be sure to include the following:

Detailed enquiry description, The affected transaction numbers, if applicable, The date and time that the issue arose and suggested way to be solved...Please enclose any relevant documentation that may help us.

I certify that, to the best of my knowledge, all information supplied by me is true.

Date and place _____ Client signature _____

C. **For Internal use only:**

Complaint Received by: _____ Date: _____

Complaint Reference number: _____

Response sent to the client within 5 days: Yes No

Holding response sent to the client: Yes No

List of further actions taken as per holding response: _____

Head of back-office signature: _____ Date: _____

(when complaint is for Back Office then Compliance officer needs to be informed and sign)

Compliance Officer signature: _____ Date: _____

General Manager signature: _____ Date: _____

(If issue is not resolved within 5 days from the date the complaint was received)

The general manager has informed:

Board:

Signature: _____ Date: _____

Legal advisor:

Signature: _____ Date: _____