

# INFINOX

## Complaints Procedure Policy

September 2021

Prior to offering our services to you, we require you to read this Complaints Procedure Policy.

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## **1 SUMMARY OF COMPLAINTS PROCEDURE**

- 1.1 We will acknowledge your complaint within 48 hours of receipt and will advise which senior person will be dealing with your complaint. We will investigate your complaint and endeavor to send a final response to you within fourteen (14) business days of receipt of your complaint. If we are unable to provide you with a final response within this time we will send you an update.
- 1.2 We will endeavor to send a final response to you within fourteen (14) business days of receipt of your complaint. If we are unable to provide you with a final response within this time frame, we will write to you explaining why and advise when you can expect a final response.
- 1.3 If more than fourteen (14) business days from the date of your complaint has past and you did not receive a final response, or you are dissatisfied with the final response received from us, you are entitled to refer your complaint to the Securities Commission of The Bahamas (SCB) via any of the below methods:

**Electronically** – You may send an email of your complaint to [ecomplaints@scb.gov.bs](mailto:ecomplaints@scb.gov.bs).

**Fax/Mail** - You may fax or mail a description of your complaint, or a printed copy of your completed online complaint to the Securities Commission's offices at Poinciana House, North Building, 2nd Floor, 31A East Bay Street, Nassau, The Bahamas, fax: (242) 356-7530.

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## **2 INTRODUCTION**

- 2.1 Infinox Capital (“INFINOX”) is a registered trading name of IX Capital Group Limited, a company duly incorporated under the laws of the Commonwealth of The Bahamas and regulated by the Securities Commission of The Bahamas(‘SCB’) (Registration No. SIA- F188). We are authorized by the SCB to deal, arrange and manage securities. Our registered office is located 201 Church Street, Sandyport, Marina Village, P.O. Box SP-62756, New Providence, The Bahamas.

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## **3 INTERPRETATION OF TERMS**

- 3.1 Unless indicated to the contrary, the terms included in this Policy shall have a specific meaning and may be used in the singular or plural as appropriate.
- 3.2 Client: means the ‘client’ as defined in the ‘Client Agreement’ available online at INFINOX.

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## **4 SCOPE OF THE COMPLAINTS HANDLING PROCEDURE**

- 4.1 The Complaints Handling Procedure (‘the Procedure’) sets out the processes employed when dealing with complaints received by clients.

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## **5 DEFINITION OF A COMPLAINT**

- 5.1 A complaint is an expression of dissatisfaction by a client regarding the provision of investment and/or ancillary services provided.
- 5.2 A complaint shall include:
- the client’s name and surname;
  - the client’s trading account number;
  - the affected transaction numbers, if applicable; the date and time that the issue arose; and
  - a description of the issue.
- 5.3 A complaint must not include offensive language directed either to INFINOX or an INFINOX employee.

## **6** PROCEDURE

- 6.1 All complaints must be in writing and shall be addressed, in the first instance, to the Customer Support Department. If the Client receives a response from Customer Support but deems that the complaint needs to be raised further, the Client may either ask Customer Support to escalate it to the Compliance Department or directly contact Compliance ([compliance@infinox.com](mailto:compliance@infinox.com)), who will independently and impartially investigate it.

Both the Customer Support Department and the Compliance Department shall thoroughly examine any complaints as required (taking into account any information contained within the books and records of the Firm, including but not limited to the client's trading account journal) to reach a fair outcome.

- 6.2 In all circumstances the Customer Support Department or the Compliance Department shall:
- send an initial response to the client within 48 hours;
  - resolve complaints as soon as reasonably practicable; and
  - inform the client accordingly.
- 6.3 All complaints shall be treated confidentially.

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## **7** FAQs

- 7.1 Questions regarding this Procedure should be addressed, in the first instance, to the Customer Service Department.