



# BLACKWELL GLOBAL INVESTMENTS LIMITED

## COMPLAINTS POLICY

Blackwell Global Investments Limited (“Blackwell Global”, the “Company”, “us”, “we” and “our”) is a company duly incorporated under the laws of the Commonwealth of The Bahamas, with company registration number 201732 B and having registered office at 201 Church Street, Sandyport, P.O. Box N-3406, Nassau, NP, The Bahamas. Blackwell Global is authorised and regulated by the Securities Commission of The Bahamas (“SCB”), with registration number SIA-F215.

## COMPLAINTS POLICY

This document sets out Blackwell Global’s policy of receiving and dealing with complaints made by our clients. Blackwell Global is committed to treating its customers fairly and to ensuring that any complaints that you may have about the products or services provided to you by us are dealt with quickly and fairly. If you have any questions about this document or on your rights of complaint to Blackwell Global, please do not hesitate to contact our Compliance Officer, who has responsibility for oversight of the company’s compliance with the Securities Commission of The Bahamas (SCB) rules in relation to client complaints.

The SCB has issued rules governing the manner in which regulated firms are to handle customer complaints. The SCB’s rules relating to complaints are designed to establish minimum standards for the proper handling and resolution of complaints received from clients. This is to ensure that complaints are handled fairly, effectively and promptly, minimising the number of complaints that need to be referred directly to the SCB. This purpose is consistent with the SCB’s consumer protection regulatory objective.

### 1. Submission of a Complaint

Clients must submit their complaints in writing:

- By Email - To the Complaints Department at [complaints@blackwellglobal.bs](mailto:complaints@blackwellglobal.bs) or;
- By Post - To the Complaints Department, Blackwell Global Investments Limited, P.O. Box N-3406, Nassau, The Bahamas

The Complaints Department is responsible for collecting, assessing and handling clients’ complaints.

The Client shall include the following information in their complaint:

- Full name (first name and last name)
- Trading account number
- Complainant’s email address
- Incident Date
- Complaint Description

### 2. Dealing with your Complaint

As soon as we receive your complaint, it will be referred to the Complaints Department and, if required, you will be contacted and asked to provide as much information as you can in relation to the complaint. We will endeavour to resolve the complaint to your satisfaction within one business day.

If we are unable to resolve your complaint within one business day, we will acknowledge your complaint in writing and a member of our Complaints Department will be appointed to oversee and handle our investigation. We will keep you up to date as matters progress. You are free to contact us at any time if you have any questions.

At the earliest opportunity and within eight weeks of receipt of your complaint we will send a final written response to you which either:

- i. Accepts the complaint and, where appropriate, offers redress or remedial action; or
- ii. Offers redress or remedial action without accepting the complaint; or
- iii. Rejects the complaint and gives our reasons for doing so; or
- iv. Explains why it is not possible to make a final response and indicates when we expect to be able to do so.

At this point we will also provide you with full details of how you can refer your complaint to the Securities Commission of The Bahamas if you are dissatisfied with our response.

If you accept our decision you should inform us of this, but if you do not do so within eight weeks, the case will be considered closed.

### 3. Right to refer to the Securities Commission of The Bahamas

Where we are not able to resolve your complaint to your satisfaction, you may refer your complaint to the Securities Commission of The Bahamas. Should this be necessary, Blackwell Global will provide you with full details of how to do this.