

2026



stonefort
Complaint
Handling Policy

Complaint Handling Policy

1. Introduction

Stonefort Securities LLC holds a Category 5 License (No. 20200000226) issued by the United Arab Emirates' Capital Market Authority (referred to interchangeably herein as “**Stonefort Securities**” or “**we**” or “**our**” or “**us**”), through which it is authorized to conduct financial consultation, promotion, and introduction activities. In line with its license, Stonefort Securities may introduce clients to trading services and financial products provided by Stonefort Securities Limited, which holds a full-service dealer (excluding underwriting) license (license No. GB 24202921) issued by the Mauritius Financial Services Commission (referred to herein as “**SFS**”).

This complaint handling policy (the “**Policy**”) explains how we handle complaints of natural and/or legal persons, subject to the terms, conditions, and limitations imposed herein.

2. REQUIREMENTS AND SCOPE

2.1. Each complaint must be in writing and must be submitted to Stonefort Securities' compliance department, at compliance@stonefort.ae.

2.2. Each complaint must contain the following information:

- (A) The complainant's full name.
- (B) The complainant's contact information.
- (C) The specific or approximate date and time of the complaint.
- (D) A thorough description of the complaint.
- (E) If possible, documents or copies of documents supporting the complaint.

2.3. If a complaint does not contain the information requested through sub-paragraph 2.2 of the Policy (excluding the requested documents indicated in point (E) of sub-paragraph 2.2 of the Policy which are applicable only if possible for those to be supplied by the complainant), it shall be disregarded. Also, Stonefort Securities shall only take complaints into consideration, that are directly and only pertinent to its financial consultation, promotion, and introduction activities, to be provided by it in association to SFS. All other complaints shall be disregarded.

3. Complaint examination

3.1. Stonefort Securities compliance department shall examine each complaint by taking into account the information and documentation contained within the books and records of Stonefort Securities', to reach a fair outcome.

3.2. Stonefort Securities compliance department shall acknowledge each complaint in writing within 02 Business Days¹ from its receipt, and aim to address the complaint within **10** Business Days, in total. In the course of investigating a complaint, we may request the complainant to provide such additional information, documentation, or evidence as may be reasonably necessary to enable a thorough investigation and verification of the issues raised. The complainant is expected to cooperate in good faith and in a timely manner with such requests, to facilitate an efficient and timely resolution of the complaint.

¹ A “Business Day” being a day in which banks in Dubai, United Arab Emirates, are open for general retail banking business.

3.3. Should it be impossible to conclude the relevant investigation within the **10** Business Day period prescribed in sub-paragraph 3.2 of the Policy, Stonefort Securities compliance department shall inform the Client in writing accordingly, by the end of the abovementioned period, explaining the reasons for the delay and extend the examination time, which shall not exceed **20** Business Days from the expiration of the initial **10** Business Day period to which reference is made in sub-paragraph 3.2 of the Policy.

3.4. Once Stonefort Securities reaches its final outcome on the complaint, we shall inform the complainant in writing accordingly. If we receive no indication from the complainant that they are unsatisfied with our response within 10 Business Days from the date from which we will send such response to the complainant, we shall consider the complaint as having been resolved satisfactorily. On the other hand, if the complainant is not satisfied with our outcome, they may submit their complaint to the United Arab Emirates Capital Market Authority.

4. Amendments to the Policy

Stonefort Securities may amend the Policy from time to time, at its sole discretion. Any amended version shall become effective on the date that the amended version of the Policy is posted on our website, or, if we elect to deliver a notice to you, on the date displayed in the notice. If no date is specified in the notice, the amended Policy shall become effective immediately upon publication. By continuing to use our services after such publication or notice, you are deemed to have accepted and agreed to the amended Policy.



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SECURITIES