

2026



**stonefort**  
Complaint  
Handling Policy

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## 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 MENA**" 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 MENA 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 MENA's compliance department, at [compliance@stonefort.ae](mailto: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 MENA 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 MENA's compliance department shall examine each complaint by taking into account the information and documentation contained within the books and records of Stonefort MENA, to reach a fair outcome.

3.2. Stonefort MENA's compliance department shall acknowledge each complaint in writing within **five (05)** Business Days from its receipt, and aim to address the complaint within **ten (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.

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

3.4. Upon reaching a final decision in relation to the complaint, Stonefort MENA shall notify the complainant in writing of the outcome and the reasons for such decision. Where the complainant remains dissatisfied with the outcome, Stonefort MENA shall inform the complainant of the available alternative settlement mechanisms and the right to refer the complaint to the relevant competent authority. Where a complaint is referred to another body and the complainant does not respond within **ten (10)** Business Days, the complaint may be considered based on the available documents and information or returned to the complainant in accordance with applicable regulations.

#### **4. Amendments to the Policy**

Stonefort MENA 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