

Written Notice on Handling and Resolving Complaints

This summary provides information to retail customers of StoneX Financial Pte. Ltd (“**SFP**”) on the process for handling and resolving complaints.

1) Complaint by a Customer

SFP considers a complaint as any expression of material dissatisfaction (regardless of whether it is received in a written or verbal format) relating to an alleged contravention of a business conduct requirement or an unfair practice in relation to the provision of financial advisory service by SFP.

Complaints may be in relation to an activity by SFP or the behaviour of any employee of SFP.

SFP takes all complaints seriously and will ensure that complaints are handled fairly, consistently and promptly.

2) Contact Details

A complaint can be sent by email to Complaints.SFP@StoneX.Com

A complaint can also be sent by post to:

StoneX Financial Pte Ltd
1 Raffles Place, #18-61
One Raffles Place Tower 2
Singapore 048616

Attention: Customer Complaints Unit
c/o APAC Compliance Department

In the complaint, please include your full legal name, account number (if applicable), contact information, details of the complaint (including dates and activity) and supporting documents.

3) Complaints Handling Process

Upon receiving the complaint, SFP will:

- (a) Provide a written acknowledge of receipt within two business days after the date on which the complaint is received.
- (b) Review the information on hand to assess the merits of the complaint and commence the investigation process, including (where necessary) interviewing the complainant, requesting for clarification or additional information.
- (c) Provide a final response within 20 business days after the date on which the complaint is received.
- (d) If there is a delay in providing the final response within 20 business days after the date of receipt of the complaint, provide reasons for any delay in providing the final response, the indicative timeframe within which the complainant may expect to receive the final response, and whether the complainant has a right to refer the complaint to the Financial Industry Disputes Resolution Centre Ltd (“**FIDReC**”).
Information on FIDReC can be found at www.fidrec.com.sg