



STARTRADER INTERNATIONAL PTY LTD

COMPLAINT PROCEDURE POLICY

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

CONTENTS

CONTENTS	1
SUMMARY OF COMPLAINTS PROCEDURE.....	2
1 INTRODUCTION	3
2 INTERPRETATION OF TERMS	3
3 SCOPE OF THE COMPLAINTS HANDLING PROCEDURE	3
4 DEFINITION OF A COMPLAINT.....	3
5 PROCEDURE.....	4
6 FAQs	4

SUMMARY OF COMPLAINTS PROCEDURE

1. We will acknowledge your complaint within five (5) business days of receipt and let you know which senior person will be dealing with your complaint.
2. We will investigate your complaint and endeavor to send a final response to you within thirty (30) 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.
3. We will endeavor to send a final response to you within thirty (30) 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 you when you can expect a final response.
4. If more than thirty (30) 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 you have received from us, you are entitled to refer your complaint to the Financial Sector Conduct Authority (FSCA), they can be contacted at the following:

<https://www.fsca.co.za/Customers/Pages/Complaints-and-Questions.aspx>

Financial Sector Conduct Authority
P.O. Box 35655
Menlo Park 0102
South Africa

Email: info@fsca.co.za for enquiries
complaints@fsca.co.za for complaints

1 INTRODUCTION

- 1.1 STARTRADER is the trade name of STARTRADER INTERNATIONAL PTY LTD (Registration Number 2022/435897/07) a private company incorporated in terms of the Companies Act No 71 of 2008 with its registered address at Suite 2, 8 Richfond Circle, Ridgeside Office Park, Umhlanga Ridge, Kwa-Zulu Natal, 4319.

STARTRADER INTERNATIONAL PTY LTD is an authorised Financial Service Provider (“FSP”) registered and regulated by the Financial Sector Conduct Authority (“FSCA”), with a Category 1 FSP license for offering Intermediary and Non-automated Advice Services issued under licence number 52464 in terms of the Financial Advisory and Intermediary Services Act 37 of 2002 (“the FAIS Act”).

2 INTERPRETATION OF TERMS

- 2.1 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.
- 2.2 Client: means “the Client” as defined in the ‘Client Agreement’ available online at <https://www.startrader-za.com/>.

3 SCOPE OF THE COMPLAINTS HANDLING PROCEDURE

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

4 DEFINITION OF A COMPLAINT

- 4.1 A complaint is an expression of dissatisfaction by a client regarding the provision of investment and/or ancillary services provided.
- 4.2 A complaint shall include:
- (a) the client’s name and surname;
 - (b) the client’s trading account number;
 - (c) the affected transaction numbers, if applicable;
 - (d) the date and time that the issue arose; and
 - (e) a description of the issue.
- 4.3 A complaint must not include offensive language directed either to STARTRADER or an STARTRADER employee.

5 PROCEDURE

- 5.1 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, which will independently and impartially investigate it.
- 5.2 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.
- 5.3 Both the Customer Support Department and the Compliance Department shall:
 - (a) send an initial response to the client within 5 business days;
 - (b) resolve complaints as soon as reasonably practicable, and
 - (c) inform the client accordingly.
- 5.4 All complaints shall be treated confidentially.

6 FAQs

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