



# COMPLAINT POLICY

[www.tradehall.co](http://www.tradehall.co)

## COMPLAINT POLICY

### 1. INTRODUCTION

- 1.1 TradeHall is committed to providing quality customer service and welcomes all feedbacks from TradeHall's Clients.
- 1.2 If you are dissatisfied with our products or services, kindly let us know and give us the opportunity to investigate your complaint and/or answer any questions you may have. The complaint process is free of charge.
- 1.3 For your reference, we have clarified how to deal with complaints received in this complaint policy (policy). This policy is formulated in accordance with the conditions and standards set out in Australian Securities and Investments Commission (ASIC) Regulatory Guide 165: Internal Dispute Resolution. If you have any other questions about our complaint management procedures, you are welcome to contact us by sending an email to [support@tradehall.co](mailto:support@tradehall.co).

### 2. WHAT IS A COMPLAINT?

- 2.1 We will consider any dissatisfaction made to or about us, whether it is a complaint related to our products, services or employees. This also includes dissatisfaction with the way we handled early complaints, such as where you complained and your complaint was not answered.

### 3. RAISING YOUR COMPLAINT

- 3.1 You may raise your complaint in any of the following ways:
  - In writing;
  - By email;
  - Via TradeHall's social media platforms;
  - Leave a support ticket on the customer portal.

- 3.2 For us to assist you with most efficiently and effectively, we would recommend that you:
- Notify our Client Service team and/or your Account Manager of the details of your complaint;
  - Where applicable, compile and send any documents related to your complaint to us; and
  - Let us know your preferred method of contact and provide us with your contact details.
- 3.3 The sooner we obtain all the relevant information. The sooner we can investigate and respond.
- 3.4 If you need any further help with your complaint, our friendly customer service team will assist you. You can contact them through most of the channels mentioned above and they will guide you through the process.



## 4. ACKNOWLEDGING YOUR COMPLAINT

- 4.1 We will acknowledge your complaint as soon as possible, but in any event within 72 hours (or one to three business days) after receiving the complaint. If you want to follow up the investigation and resolve the complaint, you can contact us through email, support ticket or account manager.



## 5. ASSESSING AND INVESTIGATING YOUR COMPLAINT

- 5.1 TradeHall operates with a multi-layer complaint management process. Therefore, our customer service team will evaluate and investigate your complaint as soon as they contact you, and they will try to resolve the complaint directly with you.
- 5.2 If our customer service team is unable to resolve your complaint within 5 working days after receiving your complaint, or if you are not satisfied with the solution they proposed, kindly forward it to our compliance team, who will conduct further review and investigation and provide you with a comprehensive final response.
- 5.3 Please note that from the date of receiving the complaint, we have a maximum of 45 calendar days to investigate and resolve your complaint. We will make sure to communicate with you throughout the process, kindly provide more information on this time if needed.



- 5.4 If, under special circumstances, we are not able to resolve your complaint within 45 calendar days, we will write to you before the end of the 45-day period:
- Inform you the reason for the delay;
  - Provide you with the latest information on the progress of your complaint; and
  - Specify a date that can be reasonably expected.



## 6. ESCALATING YOUR COMPLAINT

- 6.1 If we despite our best efforts and complaint had been fully considered in our internal complaint management procedures, but you believe that your complaint has not been handled satisfactorily, you can submit your complaint to an External Dispute Resolution (EDR) Scheme. TradeHall is a member of the Australian Financial Complaints Authority (AFCA), an independent EDR Scheme approved by ASIC. You can find more information about the AFCA complaints process on their website listed below.
- 6.2 Please take note that AFCA will not consider your complaint until we have had the opportunity to address your complaint internally.

**Get in Touch**

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info@tradehall.co

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