



Kawase Complaint Handling Form

Kawase is a trade name of TopFX Ltd, which is registered as a Cyprus Investment Firm (CIF) and licensed by the Cyprus Securities and Exchange Commission (CySEC) under licence number 138/11 in accordance with the Markets in Financial Instruments Directive (MiFID).

Complaint Handling Form

Kawase - trade name of TopFX LTD (hereinafter called the "Company"), whose headquarters are at 19 Stratigou Timagia, 3rd Floor, 3107 Limassol, Cyprus, is authorized and regulated by the Cyprus Securities and Exchange Commission (CySEC) under license number 138/11.

The Company is committed to promptly and efficiently handle all Client's complaints or grievances.

Clients may submit their complaints or grievances, using the "Complaint Form", to the head of the Compliance department. The "Complaint Form" may be submitted to the Company by email, fax or by post.

The Compliance department is responsible for handling customers' complaints or grievances. The duties of the Compliance department include the effective and efficient handling of customer complaints or grievances so as to enable the Company to adopt and apply the required actions to prevent the repetition of the same complaints or grievances.

If the complaint or grievance involves the Compliance department then it is handled by the CEO.

The Company shall maintain effective and transparent procedures for the prompt handling of complaints or grievances received from Clients. The Company shall keep a record of each complaint or grievance as well as the measures taken for the complaint's/grievance's resolution. The Company will issue a unique reference number upon review of the submitted form. The Client should use this unique reference number in all future contact with the Company, the Financial Ombudsman and/or CySEC.

The Company's policy is to acknowledge to the Client receiving of the complaint within 5 working days and try to resolve the complaint/grievance within this timeframe. In case, due to the nature of the complaint/ grievance, more time is required then the Head of Compliance should inform the CEO. The CEO should fully investigate the complaint/ grievance in coordination with the head of the involved department and if deemed necessary with the compliance officer and/or the legal advisor.

Within two (2) months from the date of receipt of the complaint, a final response will be disseminated to the Client analyzing the findings of the investigation. In the event that the Company is unable to respond within the two (2) months period, it will inform the complainant of the reasons for the delay and indicates an estimated period to complete the investigation, which will be no longer than three (3) months from the submission of the complaint.

In case the Client is not satisfied with the Company's final response, the complainant may refer the matter to the Financial Ombudsman of the Republic of Cyprus. The Financial Ombudsman website can be accessed via: <http://www.financialombudsman.gov.cy/>

If the complaint involves the Compliance department then the "Complaint Form" shall be submitted to the CEO to the following address: info@topfx.com

Contact details of the Head of Compliance department:

Mr. Ioannis Anastasiou

Telephone Number: +357 25352244

Fax Number: +357 25352266

Email: compliance@topfx.com

Address: 19 Stratigou Timagia, 3rd Floor, 3107 Limassol, Cyprus

COMPLAINT FORMWay of Communication: FAX ☐ Electronically ☐ Telephone ☐ Letter ☐**Client details**

Name:

Surname:

Legal Entity Name:

Account Number:

Address:

Post Code:

City:

Country:

Telephone Numbers:

Home:

Work:

Mobile:

Fax:

Email:

Brief Summary of the complaint

Description of product or service and/or department and/or employee you are complaining about (description, evidence, magnitude of damage and suggested way to be solved):

Please enclose any other relevant documentation that may help us to handle the complaint.

Signature:

Date:

For internal use only

Complaint received by:

Date of reception: / /

Reference number:

Department involved:

Employee involved:

Initial response to client: ____ Yes, ____ No

Date: / /

Initial Action Taken:

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Informed client of initial action taken: ____ Yes, ____ No

Date: / /

Further Action Taken: ____ Yes, ____ No

Date: / /

Further Action Taken:

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File handed on to Compliance Officer: ____ Yes, ____ No

Date: / /

Settlement of complaint: ____ Yes, ____ No

Date: / /

Summary of how the complaint was settled:

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Signature of responsible Officer:

Date: / /