

# **EGM Securities**

## **Client Complaints Handling Procedure**

EGM Securities Ltd  
Nairobi/Kenya  
April 2018  
Version Number 0.01

## The Complaints Procedure

### Client Summary

EGM Securities takes great care to maintain high standards. When we become aware of complaints or concerns, we will seek to resolve matters as quickly as possible. Our procedures are designed to ensure that complaints are handled fairly and within reasonable timescales.

The usual procedure is summarised as follows:

We will seek to resolve complaints as quickly as possible. Where a complaint cannot be resolved by the end of the next business day, we will allocate the case to a senior individual who will investigate the complaint.

You will be given the name and contact details of the person dealing with your complaint. The person investigating your complaint will be responsible for;

- o making a record of your complaint
- o issuing you with an acknowledgment of the complaint promptly following receipt. This will generally be within five business days.

The acknowledgement will set out the nature of the complaint and may request further clarification.

Your complaint will be investigated using our records together with reports from others if relevant.

We may also write to you should we need further information. We will keep you informed of progress.

We aim to resolve complaints, at the latest, within twenty-eight (28) working days. If, after twenty-eight (28) working days, a final response letter has not already been sent to you, you will receive:

A final response letter detailing our conclusions and resolution to the complaint. This letter will also confirm that, should you remain dissatisfied with the final response, you may refer your complaint to the Capital Markets Authority.

Where we need to obtain information from third parties there can be delays, which are beyond our control. At all times, we seek to resolve matters within twenty-eight (28) working days. We will keep you informed if there are delays.

If we receive a complaint that is not about us, or our services, and we can identify the firm to whom the complaint should be addressed, we will:

write to the firm concerned, explaining that we believe the complaint to be theirs, and suggesting that they contact you directly.

enclose a copy of the original complaint letter, write to you enclosing a copy of our letter to the firm together with their contact details and ask that you get in touch directly (the firm will also receive a copy of this letter).

If you have any questions about this procedure, please contact Compliance: For the attention of the Complaints Officer at [compliance@egmsecurities.com](mailto:compliance@egmsecurities.com)

In the unlikely event that we are unable to resolve your complaint within 3 months of receipt, or if you are not satisfied with our final response, you can contact the Capital Markets Authority.

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