

CAPITAL SECURITIES S.A. COMPLAINTS PROCEDURE FOR CLIENTS

We, **Capital Securities S.A.** (hereinafter, the “Company”), have adopted this Complaints Procedure in order to ensure a fair and quick process for handling complaints that may arise from our relationship.

The Company owns and operates the brand LiquidityX. Capital Securities S.A. is authorised and regulated by the Hellenic Capital Market Commission as a Greek Investment Services Firm (License Number 2/11/24.5.1994). Capital Securities S.A. is registered in Greece under Greek Company Law registered to GEMI with registration number 31387/06/B/94/18. Capital Securities S.A. is located at 58, Metropoleos Str., 105 63 Athens, Greece.

1. Definition of a Complaint

Complaint means any expression/statement of dissatisfaction addressed in a written manner to the Company by a client, via the completion and submission of the relevant online electronic Complaint Form available on the Company’s website and which is relating to the provision of investment services and accompanied by relevant evidence (as necessary).

2. Submitting your Complaint

In order to submit a complaint to the Company, you are kindly requested to complete and submit the **Complaint Form** of the Company (click the button below). Please note that the Company may not accept complaints submitted to it by any other mean/method (i.e. e-mail, telephone, etc.).

Click [Here](#) to proceed to the Complaint Form

Once you successfully complete and submit your complaint, the **Compliance Department** of the Company shall handle and investigate your complaint.

3. Acknowledging your Complaint

We will acknowledge receipt of your complaint within five (5) days from the receipt of your complaint and provide you the **unique reference number** of your complaint. The unique reference number should be used in all your future contact with the Company, the Financial Ombudsman and/or HCMC regarding the specific complaint.

4. Handling of your Complaint

Once we acknowledge receipt of your complaint we will review it carefully, investigate the circumstances surrounding your complaint and will try to resolve it without undue delay. We shall make every effort to investigate your complaint and provide you with the outcome of our investigation within two (2) months from the date you have submitted your complaint to us. During the investigation process will keep you updated of the handling process of your complaint. One of our officers may contact you directly (including communication by email or phone) in order to obtain where needed, further clarifications and information relating to your complaint. We will require your full cooperation in order to expedite the investigation and possible resolution of your complaint.

In the event that your complaint requires further investigation and we cannot resolve it within two (2) months, we will issue a holding response in writing or other durable medium. When a holding response is sent, it will indicate the causes of the delay and when the Company's investigation is likely to be completed. In any event, we shall provide you with the outcome of our investigation no later than one (1) month from the issuing of the holding response, depending on the complexity of the case and your cooperation. Please note that the Company shall consider your complaint as closed and cease the relevant investigation in case you fail to respond to our officers within the period of three (3) months from the date of the submission of your complaint. In cases that you will provide us with a valid reason for not responding to our officers within the said period (3 months), the Company shall reopen the relevant investigation in good faith.

5. Final Decision

When we reach an outcome, we will inform you of it together with an explanation of our position and any remedy measures we intend to take (if applicable).

1. **Contact Details of the Hellenic Financial Ombudsman:**

Website: <https://hobis.gr/>

Email: info@hobis.gr

Postal Address: 1, Massalias Street, 106 80 Athens P.O. Box 9166, 100 32 Athens

Telephone: 210-3376700

Fax: 210-3238321

If you are not satisfied with the Company's final decision you may submit your complaint to the Hellenic Financial Ombudsman and seek mediation for possible compensation. It is important that you contact the Hellenic Financial Ombudsman within four (4) months of receiving a final response from the Company otherwise the Hellenic Financial Ombudsman may not be able to deal with your complaint.

In the unlikely event that the Company was unable to provide you with a final response within the three (3) month time period specified above you may again contact the office of the Hellenic Financial Ombudsman no later than four (4) months after the date when we ought to have provided you with our final decision.

2. Contact Details of the Hellenic Capital Market Commission:

Website: <https://www.hcmc.gr/>

Postal Address: 3-5 Ippokratous Str., 106 79 Athens, Greece.

Telephone: (+30) 21033.77.100

Fax: (+30)210-33.77.210

You may maintain your complaint with the Hellenic Capital Market Commission, however please note that the Hellenic Capital Market Commission does not have restitution powers and therefore does not investigate individual complaints.

It is understood that your right to take legal action remains unaffected by the existence or use of any complaint's procedures referred to above.