

COMPLAINTS HANDLING PROCEDURE of Alaric Securities OOD

Alaric Securities client or potential client may file a complaint regarding the conclusion, execution, validity and termination of contracts, reception and execution of orders, portfolio management and investment advice, receipt of reports and other notifications, and all other activities, performed by the investment firm in the provision of investment services.

Complaints can be submitted in the following ways:

1. By post or at the office of the investment firm;
2. By e-mail to compliance@alaricsecurities.com.

When the client sends a complaint from an e-mail that is different from its e-mail already verified by Alaric Securities or submits a complaint by post, then Alaric Securities may require additional documents and information in order to verify the client identity, before handling the complaint.

Upon receiving of a complaint from a client or potential client, the investment firm shall enter the complaint in its register. The complainant shall receive an acknowledgement that Alaric Securities have received its complaint.

The client or potential client should provide at least the following information in the complaint:

1. Identification data of the client / potential client – name, address, account number, etc.;
2. Description of the circumstance, subject of the complaint;
3. Indication of claims, in case the client has such.
4. Telephone number.

The investment firm, in accordance with its internal rules, investigates and takes appropriate actions.

Within 10 working days from the date of complaint submission, the Compliance Department prepares a written response and after its approval by the managers, sends it to the complainant. If more time is needed to clarify the specific case, Alaric Securities shall notify the complainant and shall set a deadline for its final response.

When handling a complaint, Alaric Securities shall communicate with clients or potential clients clearly, in plain language that is easy to understand and shall reply to the complaint without undue delay.

When Alaric Securities communicates its position on the complaint, it shall also inform the client or the potential client about their options, including that they may be able to refer the complaint



to an alternative dispute resolution entity within the meaning of the Consumer Protection Act, or that the client can file a judicial claim.

The filing of a complaint by clients and potential clients of the investment intermediary is free of charge.