



Complaint Handling and Processing Policy

Date updated: September 2022

This document seeks to outline the policy relating to complaints handling and process of Progressium LLC which is registered by the Financial Services Authority of St. Vincent and the Grenadines with registration number **2320 LLC 2022** and having its registered office at First Floor, First St Vincent Bank Ltd Building, James Street, Kingstown, St. Vincent and the Grenadines (hereafter referred to as TradeNext, we, us, our).

The policy ensures that TradeNext deals with clients honestly and fairly, in a consistent and ethical manner and to ensure that the client has access and information available to best resolve problems, complaints or disputes in a timely manner.

TradeNext wants to know about any problems that customers may have with the service provided to you so we can take steps to resolve the issue. If you have a complaint about the financial product or service provided to you, please lodge your complaint by:

1. Contacting an TradeNext representative on +678 27504; or
2. Email us on support@tradenext.com.

When lodging a complaint, please include the following information:

- a. Your trading account number
- b. Your name and surname
- c. A description of the problem and affected transaction number (if applicable)
- d. The date and time you encounter the issues being the subject matter of the complaint
- e. Your primary contact information regarding this complaint

Once your complaint is lodged, we will contact you within three (3) business days from the lodging of the complaint with the details of the person who will be your contact person within the Company regarding your Complaint. If your complaint is not satisfactorily resolved by a TradeNext representative, within three business days, please contact the Compliance Department on compliance@tradenext.com.

We will try to resolve your complaint quickly and fairly using all the information available to us. We will use our best efforts to try to resolve your complaint within 30 days of receipt of

lodging your complaint. If for any reason this will not be possible we will write to you advising you of this. At the latest, your complaint will be dealt with within 60 days from the date that your complaint.

Procedure	Completed
<p>1. Register complaint lodged in the Complaints Register and stating clearly what mode of communication used to lodge the complaint. Where a complaint is received, it must be date stamped registered in the Complaints Register immediately. Details need to be recorded on the Dispute Resolution Register include the following:</p> <ul style="list-style-type: none"> (a) Client Name; (b) Date Received; (c) Service Complained About; (d) Brief Details of Complaint; (e) Type of Complaint and Method Receipt; (f) TradeNext Limited Representative taking lead on handling the complaint; and (g) Action Taken (Remedy, Determination, Result). 	
<p>2. Wherever possible, a complaint should be investigated by a staff member who is not involved in the subject matter of the dispute.</p>	
<p>3. Complaints may be made verbally or in writing. It is important to clearly state in the Complaints Register what mode of communication was used to make the complaint.</p>	
<p>4. The following procedure must be followed when a complaint is received orally.</p> <ul style="list-style-type: none"> (a) Identify yourself, listen, record details and determine what the complaint wants. (b) Confirm the details received. (c) Empathise with the complainant in a courteous manner. (d) Explain the courses of action available. (e) Do not attempt to lay blame or be defensive. (f) Resolve the complaint, if possible, or commit to doing something immediately, irrespective of who will alternatively handle the complaint. 	
<p>5. Following the notification and registration of the complaint, a written acknowledgement of receipt will be sent to the complainant within 3 business days. The notification must outline the process as per the dispute resolution procedure and that they can refer the matter to the</p>	

<p>St. Vincent and the Grenadines Financial Services Authority, should the matter not be resolved to the person's satisfaction.</p>	
<p>6. The representative handling the matter will seek appropriate supporting information from various relevant staff members. The request for all additional information or clarification must be provided within 2 weeks from the date of request. This is necessary to comply with the stipulated times of response to the complainant within 30 days.</p>	
<p>7. A written reply must be made in response to the complaint within 30 days of receiving the complaint clearly outlining the actions taken to remedy the problem, the determination of the investigation into the complaint and the final results.</p>	
<p>8. The Complaints Register must be updated to show the completion of the procedure.</p>	
<p>9. A summary report of all complaints received and resolved must be presented on a quarterly basis to the Board of Directors and should also be reflected in the regulatory quarterly report.</p>	