



NAGA CAPITAL LTD

COMPLAINTS HANDLING POLICY

April 2023

NAGA CAPITAL LTD

Address: CT House, Office 9A, 2nd Floor, Providence, Mahe, Seychelles Tel: +248 2574498

Websites: www.nagacap.com | Email: support@nagacap.com

Introduction

This Complaints Handling Policy (hereafter referred to as the “Policy”) defines the principles that apply to NAGA Capital Ltd (hereinafter referred to as the “Company” or “NAGA”) a limited liability company operating under the trade name NAGA, which is incorporated and registered under the laws of Seychelles with registration number 8422455-1 and registered address at CT House, Office 9A, 2nd Floor, Providence, Mahe, Seychelles. The Company is regulated by the Financial Services Authority Seychelles (FSA) under license number SD026 for the provision of investment services.

The purpose of this Policy is to define the arrangements employed by NAGA for the reasonable and prompt handling of complaints. The Company will act in accordance with the best interests of its clients and will ensure it has appropriate systems and controls in place so that its clients, including potential clients, have access to adequate complaints handling and redress mechanisms that are accessible, independent, fair, accountable, timely and efficient. For the purposes of this Policy, Complaint shall mean an expression of dissatisfaction by a client regarding the provision of investment services provided to him/her by the Company.

The Company has appointed a Compliance Officer to efficiently ensure the proper handle of any complaints from the clients. This is to allow the Company to resolve and apply mandatory measures to avoid any recurring issues.

Definition

The Company classifies a complaint as any objection and/or dissatisfaction that the Client may have with regards to the provision of the services provided by the Company. A complaint form is enclosed at the end of this policy.

Procedure

The Compliance Officer shall be responsible to ensure the proper handling of Client complaints, except in the case where the complaint involves the Compliance Officer, whereby the complaint shall be handled by the Representative Officer.

The Client may register a complaint by completing the complaint form, using any of the following options:

- Email: complaints@nagacap.com
 - Postal Address: Naga Capital Ltd
CT House, Office 9A, Providence, Mahe, Seychelles
1. When the Company receives the Client’s complaint then a written acknowledgement will be sent to the Client within 7 business days;
 2. The Company will attempt a final response within 30 business days, however in case we are still not in a position to resolve the issue then the Company will notify you in writing stating the reasons for the delay and indicate an estimated time to resolve the issue;
 3. A final response should be provided to the Client within 60 business days the latest from the date he submitted his complaint;

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4. In the case where the complainant is still not satisfied with the Company's final response, then the complainant can refer his complaint with a copy of the Company's final response to the Financial Services Authority (FSA) in Seychelles for further examination.

The contact details for the Financial Services Authority (FSA) in Seychelles are set out below:

Address: PO Box 991
Bois de Rose Avenue
Roche Caiman Victoria, Mahe, Republic of Seychelles

Phone: (+248) 438 08 00

Fax: (+248) 438 08 88

Email: complaints@fsaseychelles.sc

Website: <http://fsaseychelles.sc/index.php/contact-us>

Client Records

The Client should provide all relevant documentations as well as any additional information requested by the Company in order to ensure all records are collected and the complaint is properly resolved on time.

All records will be kept safe as per local requirements and for a period of seven (7) years.

[The complaint form can be found in the next page]

<i>For internal use only:</i>	
Complaint Received By:	Date:
Acknowledgement sent to Client:	<input type="checkbox"/> Yes - <input type="checkbox"/> No
Informed Client of initial action:	<input type="checkbox"/> Yes - <input type="checkbox"/> No
Final response provided to Client:	<input type="checkbox"/> Yes - <input type="checkbox"/> No
Holding response provided to Client:	<input type="checkbox"/> Yes - <input type="checkbox"/> No - <input type="checkbox"/> N/A
Signature of Compliance Officer:	Date: