



# COMPLIANT POLICY

**QUBE MARKETS GROUP**

Updated on 30<sup>th</sup> December 2025



## **Information about our Complaints Procedure**

QUBE MARKETS strives to build strong, long-lasting relationships with all our stakeholders, including and most importantly with our clients. In keeping with this, we view your comments, suggestions and concerns as matters of premiere importance. We also recognize that a client's dissatisfaction is an opportunity for us to improve by enhancing our products and level of service.

## **Submitting your Complaint**

You may submit your complaint in writing and addressed to the Complaints Management Function of the Company who is authorized to handle and investigate complaints that may be submitted to them from our clients.

You are encouraged to use the Complaints Form attached herein and submit it electronically at the following email address: [support@qbmarkets.com](mailto:support@qbmarkets.com)

## **Handling of your Complaint**

We will acknowledge receipt of your complaint, and 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 30 working days from receipt thereof. One of our officers may contact you directly (including communication by email or phone) to obtain, where needed, further clarifications and information relating to your complaint. Please note that in case we do not receive any response from you within the period of one (1) month, your complaint shall be considered as “waived/closed” and no further investigation shall be pending. We will require your full cooperation to expedite the investigation and possible resolution of your complaint.

## **Final Decision**

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

If we are unable to resolve the client’s complaint within 30 working days, or unable to resolve the complaint to client’s satisfaction, the client has the right to refer the complaint to the office of the FAIS Ombud appointed specifically for this purpose.

The complaint will receive an impartial review to determine if we have acted fairly within our rights and have met our contractual obligations. We will acknowledge your complaint promptly, and a full written response will be provided within six weeks of receiving the complaint.

## **FAIS Ombud Information**

If you are not satisfied with how your complaint has been handled or if you feel it still remains unresolved, you can refer your complaint to the **FAIS Ombud** for Financial Services Providers, within six months from the date that we issue our final response to the complaint filed:

- **Address:** Kasteel Park Office Park,  
Orange Building, 2nd Floor,  
546 Jochemus Street,  
Erasmus Kloof,  
Pretoria
- **Telephone:** 012 762 5000
- **Email:** [info@faisombud.co.za](mailto:info@faisombud.co.za)
- **Website:** [www.faisombud.co.za](http://www.faisombud.co.za)

Please note that, if you wish to lodge a complaint with the FAIS Ombud against the Financial Services Provider (FSP), you will need to show that you have already attempted to resolve the matter directly with the FSP first.

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



Date and place

Client Signature

<u>For internal use only:</u>			
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:	