

Braemar Securities (DIFC) Limited Complaints Disclosure

Braemar Securities (DIFC) Limited (“**DIFC**”) is a company incorporated in the United Arab Emirates (UAE), company number 11227, and regulated by the Dubai Financial Services Authority (DFSA),

While DIFC maintains the highest professional standards when working with our clients, there may be occasions where you may wish to make a complaint. In doing so we shall address your problem and ensure there is no repetition of the issue.

How to submit a complaint?

1. Any query should be raised with your normal contact at DIFC. We will always endeavour to resolve your issue in this way before you raise a complaint.
2. If our responses do not resolve the issue in hand to your satisfaction, you have the right to raise an official complaint to our Compliance team.
3. We shall promptly send you a written acknowledgement that your complaint has been received and will deal with your complaint efficiently and effectively, and to do so we established necessary procedures.
4. We politely request that complaints are made in writing to **Compliance** either via email to compliance@braemar.com or via mail to:

Compliance

UNIT GD-PB-04-01-OF-01-0

LEVEL 1, DIFC FUND CENTRE

Level POD, Gate District Precinct Building 04

Dubai International Financial Centre

DUBAI

- a. Please include the following information to help assist DIFC to address your complaint, please include where possible: Name of complainant
- b. Address of complainant
- c. Full details of the complaint, including but not limited to:-
 - Date and time of the event causing the complaint.
 - Name of DIFC employee if any with whom you have discussed the matter.
 - Compliant Description.

Complaints Resolution

- 1 DIFC will ensure you are kept informed of the progress of the measures being taken for resolution of the complaint. Subsequently, DIFC will write to you after four weeks if a final decision has not been reached.
- 2 DIFC will issue a final response to you within 8 weeks unless further information has been requested from you (the “**Final Response**”).
- 3 However, if your complaint is more complex and requires further investigation by us, we will keep you up to date regarding the progress of investigation, status, and reasons for delay.
- 4 An update will be provided monthly (every four weeks) until the complaint case has been resolved.