



# DUALIX

## COMPLAINTS HANDLING POLICY

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**Dualix is owned and operated by Maxigrid Limited**

**v.3**

Maxigrid Limited is a Cyprus Investment Firm, regulated by Cyprus Securities and Exchange Commission (CySEC)

License Number: 145/11 and Registration Number: HE 269879

Registered Office Address: 214 Arch. Makariou III, Ideal Building, Office 301, Ayia Zoni, 3030, Limassol, Cyprus

## **INTRODUCTION**

The Complaints Handling Policy (hereinafter, “the Policy”) outlines the procedures followed when dealing with complaints received from Clients. Maxigrid Limited (hereinafter, “the Company”) undertakes to maintain effective and transparent procedures for the reasonable and prompt handling of Complaints received.

The Policy is an integral part of the Client Agreement and contains information on how the Company manages any complaint which may arise in the course of the business relationship.

## **INQUIRIES**

If a Client has an Inquiry or concern regarding his/her trading account or activity with Maxigrid Limited, he/she may contact the Customer Support Department via the communication means referred to herein below:

[support@dualix.maxigrid.com](mailto:support@dualix.maxigrid.com)

Kindly note that if the query cannot be resolved immediately, the Company is committed in addressing and resolving the query in a prompt manner (within 48 business hours).

The satisfaction of Maxigrid Limited clients is a high priority. Thus, if a Client has inquiry or issue the Company appreciate the time give to resolve the matter. The Company is committed in addressing and/or resolving Client’s inquiry or concern in a prompt manner and will provide a response within a reasonable timeframe.

The Company will carry out an impartial review of the inquiry to perform an assessment what did or did not happen and whether the Company acted fairly within its rights and have met its contractual and other obligations.

If the Company is unable to answer the inquiry or concern or the Client feel that the Company’s response is unsatisfactory, the Client may open an official Complaint to the Legal Department by completing the required information found in the section below. The Client should ensure to fill in all the relevant fields in order for Maxigrid Limited team to be able to provide you with an accurate and fast response.

## **DEFINITION OF A COMPLAINT**

A Complaint is a formal statement of dissatisfaction addressed by the Client to the Company regarding the provision of investment and/or ancillary services provided by the Company.

In case the Company receives a notice through the usual means of communication however does

not fall within the definition of “complaint”, will be considered as an enquiry rather than a complaint and shall be forwarded to the relevant department and handled accordingly.

## **COMPLAINTS PROCEDURE**

Should the Client wish to submit an official Complaint, a statement of dissatisfaction relating to the provision of our services shall be addressed to the Compliance/Legal Department which can be contacted via email to [legal@dualix.maxigrid.com](mailto:legal@dualix.maxigrid.com).

The official complaint must include the following:

1. The Client’s name and surname
2. The Client’s trading account number
3. The affected transaction numbers (if applicable)
4. The date that the issue arose
5. An accurate description of the issue
6. The damage claimed by the Complainant

In case the Company receives a registered Complaint but which does not fall within the scope of An official Complaint, it may be re-classified as an inquiry; when this shall be classified as an inquiry it will be forwarded to the relevant department to be handled accordingly. The Complainant maintains the right to request for the re-classification of his/her inquiry as a Complaint, if this is relevant to the investment and/or ancillary services of Maxigrid Limited.

## **ACKNOWLEDGMENT OF COMPLAINT**

The Company will acknowledge receipt of the Complaint within five (5) working days from the day of receipt of the Complaint, indicating that the Complaint is acknowledged and provide the Client with a unique reference number of the complaint.

The unique reference number should be used in all communications with the Company regarding the Complaint, the Financial Ombudsman and/or CySEC regarding the specific complaint.

It shall be noted that a complaint will be considered as an Official Complaint and will be given a Unique Reference Number (URN) **only** if submitted in accordance with the above instruction.

## **HANDLING OF COMPLAINTS**

Upon acknowledgment of receipt of the complaint, the Compliance/Legal Department will review it carefully, investigate the circumstances surrounding the complaint and attempt to resolve it without undue delay and to issue a final decision within two (2) months from Company’s receipt of the complaint, depending on the complexity of the case and the Client’s cooperation.

During the investigation process, the Compliance/Legal Department will inform the Client

whether the complaint has been successfully resolved or whether further clarifications and information relating to the complaint may be required from the Client within the two (2) months' time-frame, as necessary.

When we reach to an outcome/decision, the Company will inform the Client together with an explanation of the position and any remedy measures it intends to take (if applicable). Please note that the Company shall only communicate directly with the Client without any authorised representatives being involved.

In the event that the complaint requires further investigation, the Company will not issue a final decision within two (2) months but will indicate the causes of the delay and inform the Client that the final decision will be issued no later than three (3) months from the day that the Company received the submission of the complaint. A Complaint will be deemed as resolved or settled where the Company has sent in writing a Final Response and/or further clarifications on the Final Response to the Complainant.

During the investigation, the Compliance/Legal Department may contact the Client directly to obtain additional information. In case the Client fails to respond to enquiries regarding the complaint within the period of three (3) months from the date of the submission of the complaint, the Company will consider the complaint as closed.

## **POST DECISION RIGHTS**

In case the Client is not satisfied with the Company's final decision, the Client has the option to address the complaint to the [Financial Ombudsman of the Republic of Cyprus](#).

It is important that the Client contacts the Financial Ombudsman of the Republic Cyprus within (4) months of receiving the final decision from the Company otherwise the Financial Ombudsman may not be able to deal with the complaint.

The Client may maintain the complaint with the Cyprus Securities and Exchange Commission, however, please note that the Cyprus Securities and Exchange Commission does not have restitution powers and therefore does not investigate individual complaints.

Further information as to the procedure a Client needs to follow, can be found on <https://www.cysec.gov.cy/en-GB/complaints/how-to-complain/>.

It should be noted that the Cyprus Securities and Exchange Commission has no restitution powers. Any disputes for which damages are claimed, should be submitted to the Financial Ombudsman of Cyprus.

However, please note that the Cyprus Securities and Exchange Commission does not have restitution powers and therefore does not investigate individual complaints.

When complaining, the Complainant should, at all times use the unique Complaint number that will be provided by the Company.

## **RECORD KEEPING**

The Company shall maintain a record of every complaint received from clients with details of the investigation conducted, the final outcome as well as of the measures taken for the resolution of the said complaint.

The Compliance/Legal Department shall maintain the appropriate records, the relevant correspondence and documents related to the complaints and shall regularly monitor and review the Company's compliance with the applicable regulatory requirements for handling Client Complaints and the record-keeping held.

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