



KOHLE CAPITAL MARKETS
柯尔凯思

Complaint Handling Procedure 投诉机制

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1 INTRODUCTION

引言

KOHLE CAPITAL MARKETS LIMITED (hereinafter referred to as 'KOHLE' or the 'Company') is a brokerage firm that operates globally.

KOHLE CAPITAL MARKETS LIMITED (中文譯名: 柯尔凯思有限公司 (以下称 被称为“KOHLE”或“公司”) 是一所在全球开展业务的经纪公司。

KOHLE CAPITAL MARKETS LIMITED is incorporated in the Republic of Mauritius with the registration number C153797 C1/GBL under Section 24, Part III of the Companies Act 2001. Holding a Global Business License under Section 72(6) of the Financial Services Act 2007 (as amended 2018) and an Investment Dealer (Full Service Dealer, excluding Underwriting) License under Section 29 of the Securities Act 2005 (as amended 2001).

柯尔凯思有限公司在毛里求斯, 根据2001年《毛里求斯公司法》第三章二十四条注册成立, 注册号为C153797 C1/GBL。根据《毛里求斯2007年金融服务法》(2018年修订版)第72(6)条持有国际营业执照, 并根据《毛里求斯2005年证券法》第29条(2001年修订版)获得投资交易商(全方位服务交易商, 不包括包销)执照。

2 INTERPRETATION OF TERMS

条款解释

Unless indicated to the contrary, the terms included in this Complaint Handling Procedure shall have a specific meaning and may be used in the singular or plural as appropriate.

除非另有说明, 否则本投诉处理程序中包含的术语应具有特定含义, 并可以适当地以单数或复数形式使用。

KOHLE Client (the 'Client') shall have the same meaning as the Client referred to in the KOHLE Client Agreement, as amended from time to time.

KOHLE的客户(“客户”)的含义, 与不时修订的《KOHLE客户协议》中提及的(“客户”)一词定义相同。

3 SCOPE OF THE COMPLAINT HANDLING PROCEDURE

投诉处理程序的范围

The Complaint Handling Procedure ('the Procedure') sets out the processes employed when dealing with complaints received from Clients.

投诉处理程序(“程序”)列出了处理客户提出投诉时所采用的流程。

4 DEFINITION OF COMPLAINT

投诉的定义

4.1 A complaint is an expression of dissatisfaction by a Client regarding the provision of investment and/or ancillary services provided by KOHLE.

投诉是客户对KOHLE提供的投资和/或配套服务表示不满意。

4.2 A complaint shall include:

当客户进行投诉时, 应提供以下信息:

- (a) The Client's full name.
客户的全名。
- (b) The Client's trading account number.
客户的交易账号。
- (c) The affected transaction numbers, if applicable.
受影响的交易编号(如有)。
- (d) The date and time that the issue arose.
发生问题的日期和时间。
- (e) A description of the issue.
对该问题的描述。

4.3 A complaint must not include offensive language directed either to the Company or a Company employee.

投诉不得包含针对公司或公司员工的冒犯性语言。

Risk Warning: Please note that trading in forex and other leveraged products may involve a significant level of risk and is not suitable for all investors. Before undertaking any such transaction you should ensure that you fully understand the risks involved and seek independent financial advice if necessary.

风险警告: 请注意, 外汇和其他杠杆产品是涉及高风险的交易, 因此并不适合所有投资者。在进行任何此类交易之前, 请确保您完全了解所涉及的风险, 并适当地寻求独立的财务建议。

- 4.4 All Complaints must be in English or Chinese language otherwise the Company will not be able to investigate the case further.
所有投诉必须使用英语或中文，否则公司将不会作出进一步调查。
- 4.5 KOHLE may, at its discretion, refuse to handle a complaint if requirements contained in Paragraphs 4.2 and 4.3 above are not fulfilled.
如未能符合上述第4.2和4.3段中的要求，KOHLE可以自行决定拒绝处理投诉。

5. PROCEDURE

程序

Complaints must be in writing. A “Client Complaints Form” can be obtained from the Client Service Department (cs@kohlecapital.com) or directly write to the Client Service Department through email stating clearly the required information, a crop screen would be helpful in identifying the issues. Client Service Department will impartially investigate the complaint. If the complaint is against the Client Service Department, it will be escalated to the Investigation and Audit Team.

投诉需以书面形式进行，投诉表格可以向客户服务部 (cs@kohlecapital.com) 索取，或直接透过电邮提供所需数据，例如发生问题时的屏幕截图以作投诉。客户服务部将公正地调查。如果投诉是针对客户服务部门的，则将上报与调查与审核小组跟进。

When the Client Service Officer receives a Client’s complaint, a written acknowledgement will be sent to the Client confirming the name and job title of the person dealing with the complaint within three (3) business days.

客服人员收到客户的投诉后，将在三（3）个工作日内向客户发送书面确认，以确认处理投诉的人的姓名和职位。

This acknowledgment will provide a complaint reference number and advise any necessary action required to resolve the complaint and will contain details of our Complaints Handling Procedure.

该书面确认会提供投诉参考编号，及解决投诉所需的任何必要措施，并包括我们的投诉处理程序的详情。

The acknowledgment will also inform the Complainant of their right to refer the Complaint to the Financial Ombudsman if they are dissatisfied with our assessment and ruling.

该书面确认会告知投诉人如对我们的评估和裁定不满意，投诉人有权将投诉转介给金融申诉专员。

The Company will then gather and investigate all relevant evidence and information regarding the complaint.

其后公司会收集并调查有关投诉的所有相关证据和资料。

The Client Service Department shall:

客户服务部门应当：

- (a) send an initial response to the Client within ten (10) business days.
在十（10）个工作日内向客户发送初步回复。
- (b) resolve complaints as soon as reasonably practicable.
在合理可行的范围内尽快解决投诉。
- (c) inform the Client accordingly.
相应地通知客户。

The Client Service Department shall thoroughly examine any complaints as required (taking into account any information contained within the books and records of the Company, including but not limited to the Client’s trading account journal) and reach a fair outcome.

客户服务部门应（考虑到公司账簿和记录中包含的任何信息，包括但不限于客户的交易帐户日志）彻底调查所有投诉，并取得公正的结果。

When an answer cannot be provided within the expected time limits, the Company will inform the complainant about the causes of the delay and indicate when the Company’s investigation is likely to be completed.

如果无法在预期的期限内提供回复，公司将通知投诉人造成延误的原因，并指出公司的调查何时可能完成。

If after 2 months of receiving the complaint the Company is still not in a position to resolve the issue then the Client Service Officer will notify you in writing stating the reasons for the delay and indicate an estimated time to resolve the issue.

如果在收到投诉2个月后，公司仍无法解决问题，客服人员将书面通知客户，说明造成延误的原因，并指出解决问题的估计时间。

The Company will endeavour to resolve all complaints within 3 months.

本公司将竭力在3个月内解决所有投诉。

When the complainant has received the final response, the complainant will have 5 weeks to respond. If no response has been received from the complainant indicating dissatisfaction with the explanation then the Complaint will be considered as resolved.

投诉人收到最终答复后，将有5周的时间回复。如果5周内未收到投诉人表示对解释不满意的回复，该投诉将被视为已解决。

All complaints shall be treated confidentially. The Company will endeavour to ensure all communication is in plain language which is clearly understood.

所有投诉均会被保密。本公司将竭力确保所有交流均以通俗易懂的语言进行。

6. COMPLAINTS REGISTER

投诉登记

The Company stores all complaints it receives on an internal archive, as quickly as possible, and in an appropriate manner.

本公司会将收到的所有投诉尽快并以适当的方式存储在内部存档。

7. FAQs

常见问题

Questions regarding this Procedure should be addressed, in the first instance, to the Client Service Department.

如对此程序有问题，请先联系客户支持部门。

8. CONTACTS

联系方式

Kohle Client Service Department

柯尔凯思 客户服务部

cs@kohlecapital.com

9. AMENDMENTS

修订

The Company analyses, on an on-going basis, complaints handling data, to ensure that they identify and address any recurring or systemic problems, and potential legal and operational risks, for example by:

公司会持续分析和处理相关投诉的资料，以确保问题能够被识别，并解决任何重复出现的或系统性的问题以及潜在的法律和运营风险，例如：

- (a) analyzing the causes of individual complaints in order to identify common root causes to certain types of complaints,
分析个别投诉的起因，以识别常见投诉类型的根本原因，
- (b) considering whether such root causes also affect other processes or financial means, including those not directly complained of; and
考虑导致投诉的原因会否影响其他流程或金融工具，包括未被直接投诉的流程或金融工具；
- (c) correcting, where reasonable to do so, such root causes.
在合理的情况下纠正导致投诉的根本原因。