



WEALTH IS A CULTURE



MARKE X INTERNATIONAL (PTY) LTD

2024/018500/07

COMPLAINTS PROCEDURE POLICY

Markex International (Pty) Ltd is a juristic representative of 4AM Asset Management (Pty) Ltd (FSP 51867)

4 AM Asset Management (Pty) Ltd is an authorised financial services provider registered with the Financial Sector Conduct Authority

June 2025

Prior to offering our services to you, we require you to read this Complaints Procedure Policy.

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1 Introduction

Markex International (Pty) Ltd a Private Company registered in the Republic of South Africa under registration number 2024/018500/07 is a juristic representative (The “JR” hereafter) under 4AM Asset Management (Pty) Ltd a Private Company registered in the Republic of South Africa under registration number 2021/667691/07, 4 AM Asset Management is also registered with the Financial Sector Conduct Authority (FSCA) as an Authorised Financial Services Provider with license number FSP51867 (The “FSP” hereafter).

The FSP and JR are not the market makers, or product issuer, and acts solely as an intermediary in terms of the FAIS Act between the client and AT Global Markets SA (Pty) Ltd, Therefore, AT Global Markets SA (Pty) Ltd a Private Company registered in the Republic of South Africa under registration number 2013/129459/07, AT Global Markets SA (Pty) Ltd is also registered with the Financial Sector Conduct Authority as an Authorised Financial Services Provider and OTC Derivative provider with license number FSP44816 (the “Principle” hereafter). AT Global Markets SA (Pty) Ltd is the principal, liquidity provider or the counterparty in any of the transactions.

2 Interpretation of Terms

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

Complainant included the ‘client’ as defined in the ‘Client Agreement’ available online at Markex International (Pty) Ltd or;

A person whose dissatisfaction relates to the approach, solicitation marketing or advertising material or an advertisement in respect of a financial product, financial service or related service of the provider.

3 Scope of the Complaints Handling Procedure

The Complaints Handling Procedure (‘the Procedure’) sets out the processes employed when dealing with complaints received by clients.

4 Definition of a Complaint

A complaint is an expression of dissatisfaction by

- a person to a provider or,
- the provider’s service supplier relating to a financial product or
- the provider’s services or financial product service or
- product knowledge of the provider,

which indicates or alleges, regardless of whether such an expression of dissatisfaction is submitted together with or relates to a client query that—

- a. the provider or its service supplier has contravened or failed to comply with an agreement, a law, a rule, or a code of conduct which is binding on the provider or to which it subscribes;
- b. the provider or its service supplier’s maladministration or wilful or negligent action or failure to act, has caused the person harm, prejudice, distress, or substantial inconvenience; or
- c. the provider or its service suppliers has treated the person unfairly;

A complaint shall include:

- the client's name and surname;
- the client's trading account number
- the affected transaction numbers, if applicable; the date and time that the issue arose; and
- a description of the issue.

A complaint must not include offensive language directed either to Markex International (Pty) Ltd, 4 AM Asset Management or AT Global (Pty) Ltd or any of its employees.

5 Procedure

All complaints will be directed to the Principle by the JR and will be the intermediary between the Principle and the client. Some complaints may be addressed by the JR, depending on the complexity and reason for the complaint.

All complaints must be in writing and shall be addressed, in the first instance, to the Customer Support Department. If the Client receives a response from Customer Support but deems that the complaint needs to be raised further, the Client may either ask Customer Support to escalate it to the complaints department or send a written complaints directly to the complaints department.

Email address:

Client support: clientsupport@markex.io
Complaints department: complaints@markex.io

Both the Customer Support Department and the Complaints Department shall thoroughly examine any complaints as required (taking into account any information contained within the books and records of the Firm, including but not limited to the client's trading account journal) to reach a fair outcome. The complainant will be kept informed during the process of the complaint.

In all circumstances the Customer Support Department or the Compliance Department shall:

- send an initial acknowledgment to the client within 48 hours;
- resolve complaints as soon as reasonably possible; and
- exercise reasonable care and skill to ensure that the complaint is resolved amicably and fairly
- inform the client accordingly.

All complaints shall be treated confidentially.

If the matter is not resolved by the Customer Support Department within fourteen (14) business days of receiving your complaint, you will be provided with a response within twenty-one (21) business days from the date of receipt. Should the outcome not be in your favour, a full written explanation, including the reasons for the decision, will be provided.

If more than twenty-one (21) business days from the date of your complaint has passed and you did not receive a final response, or you are dissatisfied with the final response received from customer support, you are entitled to refer your complaint in writing to the complaints department.

The complaint must be resolved within six (6) weeks from the date it is lodged with the JR or FSP. If the outcome remains unsatisfactory, the client may escalate the matter to the FAIS Ombud for further assistance.

Ombud Contact Details

Sharecall:	0860 324 766
Telephone:	012 762 5000
E-mail address:	info@faisombud.co.za
Website:	www.faisombud.co.za
Postal Address:	P.O.Box 74571, Lynnwood Ridge, 004
Physical Address:	125 Dallas Avenue, Menlyn Central. Waterkloof Glen, Pretoria 0010

6 FAQs

Questions regarding this Procedure should be addressed, in the first instance, to the Customer Support Department.

7 Document Metadata

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