

COMPLAINTS PROCEDURE

At Global Investment Strategy (HK) (“GIS HK”) we are committed to provide a best-in-class client experience, but we accept that sometimes things go wrong. If this happens, we will do our best to deal with your complaint quickly and to your satisfaction.

How do I make a complaint?

To help us to do so quickly and efficiently, please contact us providing:

- Your Name
- Your account number
- A telephone number or email address
- Details of your complaint

Please contact us at the following address:

*Global Investment Strategy (HK),
Room 2201, 22F, 28 Stanley Street Central •
Hong Kong
Tel : +852 2618 0686
Email: Enquiries@gishkltd.com*

When will I hear back about my complaint?

We will do everything we can to resolve your complaint as soon as we can. For more complex issues we may need more time to investigate your concerns. If this is the case, we will:

- write to let you know we have received your complaint, and then;
- provide you with a response to the issues you've raised as soon as possible.

Our complaints procedure allows us eight weeks to do this, but we will do our best to get back to you within four weeks.

How will GIS HK deal with my complaint?

Our aim is to ensure you feel we have handled your complaint fairly and that you are fully satisfied with the outcome. If we cannot resolve your complaint immediately, we will send you a prompt acknowledgement confirming receipt of your complaint, we will undertake a full investigation addressing all the points you raise and will do our best to reply to you with our written response by post within 28 days.

If we need more time to look into your complaint, we will:

- tell you who is personally dealing with it;
- keep you updated on our progress; and
- provide you with a written explanation of the reasons for the delay; and tell you when we will respond in full.

Taking your complaint further.

If we are unable to issue a final response within eight weeks, or you are not happy with our final response for any reason, you may be able to refer the matter to the (SFC).

For more information:

Post: Securities & Financial Commission, 35/F,
Cheung Kong Center, 2 Queen's Road Central,
Hong Kong
Tel: 2231 1222 (press 5 after selecting your
preferred language)
Email: complaint@sfc.hk
Website: <https://www.sfc.hk/web/EN/lodge-a-complaint/against-intermediaries-and-market-activities.html>