

COMPLAINTS HANDLING PROCEDURE

Greenstone QFC LLC ("Greenstone") has adopted the following procedures for a quick and fair resolution of Counterparty complaints:

- (i) Upon receipt of a complaint, either verbal or written, the Greenstone Representative must escalate the matter internally, including the relevant details of the complaint and the contact details of the Complainant to the relevant department.
- (ii) Greenstone will immediately make a record of the complaint. Greenstone will notify the Complainant within five (5) business days that the complaint has been received. This notification will include the name and job title of the person at Greenstone who is in charge of investigating the complaint, an overview of Greenstone's complaints' procedure, and expected timelines for response.
- (iii) The relevant department, along with any individual deemed appropriate and relevant for a fair and independent inquiry, will investigate the complaint.
- (iv) Within four (4) weeks of a complaint being received, Greenstone will provide the complainant with a response and details of the steps taken in response to the complaint in a written communication addressed to the Complainant and dated accordingly.

A final response will:

- i. accept the complaint and if appropriate offer fair compensation (financial or otherwise); offer fair compensation (financial or otherwise) without accepting the complaint; or reject the complaint and provide reasons for rejection; and
- ii. if the Complainant is a Business Customer, inform the Complainant that, if the Complainant is dissatisfied with the response, the Complainant may apply under the QFCRA customer dispute resolution scheme via (<https://www.qfcra.com/customer-dispute-resolution-scheme-e-form/>) but must do so within four (4) calendar months after receiving the response.

Notwithstanding the foregoing, if the complaint cannot be resolved within four (4) weeks of the complaint being received, Greenstone will notify the Complainant of such, explaining why it has not been possible to resolve the complaint and indicate when the Complainant will be contacted again in relation to the complaint.

- (v) if Greenstone is unable to provide a final response to the complaint within eight (8) weeks of the complaint being received, Greenstone will notify the Complainant of such, explaining why it has not been possible to resolve the complaint and indicate when the Complainant will be contacted again in relation to the complaint; and inform the Complainant, if a Business Customer, that if dissatisfied with the delay, the Complainant may apply under the QFCRA's customer dispute resolution scheme;
- (vi) Greenstone retains records of all complaint notifications, investigation papers and other related documents for a period of six (6) years from the time the complaint was resolved; and
- (vii) Greenstone is responsible for ensuring that all complaints are handled in a fair and transparent manner.

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If Greenstone is satisfied on reasonable grounds that another authorised firm may be solely, jointly or partly responsible for the act or omission alleged in the complaint, it may refer all or part of the complaint to the other firm in writing provided that such referral is made within five (5) business days of becoming satisfied that such other firm may be responsible and must inform the original Complainant that the complaint has been referred. Unless Greenstone is satisfied that the other firm is solely responsible for the Complaint, Greenstone will continue to follow the steps as outlined above.