

September  
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WISUNO CAPITAL LIMITED

Client Complaint Process

Version 2.0

## **1. Filing a Complaint**

If a client encounters any issues, especially related to compliance, they can file a formal complaint by following these steps:

Contact Support@wisunomu.com : Initially, clients should contact the customer support department through available channels (email).

Provide Detailed Information: Clearly describe the issue, providing relevant details such as the account number, trade details, dates, and any supporting documents or screenshots.

## **2. Acknowledgement of the Complaint**

Upon receipt of the complaint, the company will:

Acknowledge the Complaint: Send an acknowledgement to the client, typically within 1-2 business days, confirming receipt of the complaint.

Assign a Case Number: The complaint will be assigned a reference or case number for tracking purposes.

## **3. Initial Review and Investigation**

The compliance team will:

Conduct a Preliminary Review: Verify the facts provided and assess whether the complaint pertains to compliance, regulatory, or other issues.

Request Additional Information: If needed, the client may be asked for further documentation or details to aid in the investigation.

## **4. Investigation of Compliance Issues\***

If the issue is compliance-related, the company will:

Compliance Team Involvement: The compliance team will investigate whether any laws, regulations, or internal policies have been violated.

Cooperate with Regulators: In case the issue involves regulatory bodies, the company will liaise with the relevant authorities, if required.

## **5. Response to the Complaint**

After the investigation is complete:

Formal Response: A formal response will be sent to the client with the investigation's outcome, including explanations of any findings or corrective actions taken.

## **6. Escalation to Regulatory Authorities (if unresolved)**

If the client is dissatisfied with the resolution, they may:

Seek External Resolution: Escalate the issue to relevant regulatory bodies or financial ombudsmen.

Provide Complaint Reference: Ensure that the case reference number and all relevant documentation are available when contacting external authorities.

## **7. Continuous Monitoring and Reporting**

The company will:

Monitor Complaints: Track and monitor the status of all complaints to ensure timely resolutions.

Compliance Reporting: Report any significant compliance-related complaints to regulatory authorities as required.

Contact Details for Filing a Complaint, Email : [support@wisunomu.com](mailto:support@wisunomu.com)