

Client Complaint Form

Please use this form to file a complaint with NTFX Capital Limited.

We require a written complaint from the owner of the account(s) in question, indicating the subject of the complaint, the issues involved and specific information regarding times, dates and events. Claims that do not contain data such as the Client's name or contact details, shall be classified as anonymous and left without any further consideration. Receipt of your complaint will be acknowledged and if further information is required we will contact you.

1. Customer Information

Name: _____

Your current contact details: _____

2. Your Account Information

Account Number with NTFX Capital Ltd : _____

3. Does your complaint involve a particular investment?

If yes, please provide the name of the security and applicable date in the space provided below.

Instrument Identification: _____ Trade Date / Time: _____

4. Complaint Summary

Please provide a complete chronological summary of your complaint. Attach additional sheets as required. Further details may be requested from you later in the complaint process.

5. Your Signature

Signature: _____ Date: _____

FOR INTERNAL USE: Present Form has been received by

Signature: _____ Date: _____

Unique Reference Number: LX 20..