



شركة شرق للإستثمار ش.م.ك (مقفلة)  
SHARQ INVESTMENT Co. (K.S.C.C.)

شركة شرق للإستثمار ش.م.ك (مقفلة)

SHARQ INVESTMENT CO. (K.S.C.C.)

## Complaints Unit Policy & Procedures Manual 2025

سياسات وإجراءات  
التعامل مع الشكاوى  
العملاء والمستثمرين  
2025

الاعتماد

رئيس مجلس الإدارة



شركة شرق للإستثمار (ش.م.ك) (م)  
SHARQ INVESTMENT Co. (K S C C)



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### Privacy

This document is considered the property of the Company. No part of this document may be reused in any form such as printing, copying, photocopying, or any other means in whole or in part or disclosed to any person outside the Company without the written permission of the Board of Directors. Administration.

# Section (A)

## POLICY

### A1. Introduction

The overarching objective of this Complaints Unit Policy and Procedures Manual ("Manual") is to lay down systematic measures to manage and monitor client complaints received by Sharq Investment Company(SIC). The Company is committed to being consistent, fair and impartial when handling any client complaint.

- ✚ This Manual has been prepared taking into consideration the relevant instructions and guidelines of the Capital Markets Authority.
- ✚ Objectives:
  - ✚ Provide a fair complaints procedure which is clear and easy to use for anyone wishing to make a complaint.
  - ✚ Outline the governing policies and roles and responsibilities to ensure that all complaints received by clients are analyzed, reported to compliance and addressed and responded to clients in a standardized, fair and timely manner.
  - ✚ Create awareness regarding the existence of the Company's complaints procedure so that people know how to contact the Company through right channels to make a complaint.
  - ✚ Gather information that helps the Company improve its state of affairs.
  - ✚ Increase the trust and confidence the public has in the Company.

### A2. Manual Administration

#### 1. Purpose

The purpose of this section is to outline the steps and responsibilities for the administration and implementation of the Complaints Unit Policies and Procedures manual.

#### 2. Manual Applicability

- 2.1. This Manual is applicable to Sharq Investment Company's Board of Directors (BOD), Compliance Unit, Top Management, and all employees of the Company. It is also applicable to its subsidiaries.
- 2.2. The Manual shall be used in conjunction with the applicable laws and regulations of the CMA, and other regulatory bodies if applicable.
- 2.3. The contents of the Manual must be reviewed by complaint officer and reviewed by Compliance head and approved by the BOD before its implementation.
- 2.4. If anyone within Sharq Investment Company (hereinafter called 'Sharq Investment' or 'the company') considers that compliance with any of the guidelines, policies, instructions, and procedures set out in this Manual is not possible for any reason, he / she should refer the matter in writing to the Compliance unit for resolution.
- 2.5. The Manual must be distributed to the BOD, CEO, and Department Heads and among all employees of the Company and also to employees of SIC subsidiaries.

### **3. Updating the Manual**

- 3.1. Complaint officer to review complaint policy annually or if there is any new regulations or amendment in regulation by CMA.
- 3.2. Compliance head to make second review of the policy after complaint officer and to approved by Board of Directors before implementation.
- 3.3. All updates and amendments must be adequately documented and recorded after appropriate approval

### **4. Manual Format**

- 4.1. The Manual shall be split into two main sections:
  - 4.1.1. Policies
  - 4.1.2. Procedures

### **5. Copyright**

- 5.1. This Manual and its contents are strictly for internal use and are as such treated as highly confidential material.
- 5.2. No part of this Manual may be reproduced, stored in any system or form, or transmitted in any form by any means – electronic, mechanical, photocopied, recorded, or otherwise – without the prior written consent of the Head of Compliance.

5.3. Violation of the above clause subjects an individual or an entity to applicable legal proceedings as per the laws of the State of Kuwait.

## 6. Maintenance & Review Frequency:

Policies and Procedures	Review Frequency	Responsibility for Review	Final Level Approval
Complaints Unit Policies and Procedures Manual	Every 12 Months	Head of Complaints Unit	BOD

## A3. Complaints Unit Governance and Organization

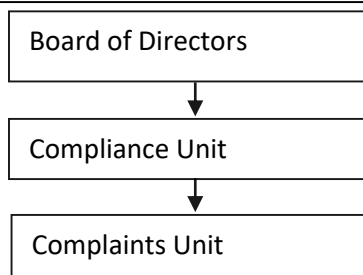
### 1. Purpose:

The purpose of this section is to outline the policies around the governance structure of the Complaints Unit.

### 2. General Policy Statements

2.1 The Complaints Unit shall report directly to the Compliance Unit.

**Figure 1: Complaints Unit Governance Structure**



## 3. Roles & Responsibilities

### 3.1 Board of Directors

3.1.1 The BOD shall be ultimately responsible to act as a Governing Body to the activities of the Complaints Unit.

3.1.2 The Board is responsible for reviewing and approving the policies and procedures pertaining to the Complaints Unit.

- 3.1.3 Any complaint escalated to board member should be reviewed by board and resolve the complainant issue in best possible way in timely manner.

### **3.2 Head of Compliance**

- 3.2.1 Overall follow up on client complaints received and oversight on timely resolution/redressal of such complaints.
- 3.2.2 Oversee that necessary actions are taken to address the causes within the Company that led to client complaints being raised and are redressed in a timely fashion, and escalate to the BOD if required.
- 3.2.3 Update the Board, on all matters of significant relevance related to the Complaints Unit, nature complaints received during the reporting period, measures taken to resolve them and status of open complaints etc.

### **3.3 Complaints Unit**

- 3.3.1 Receive client complaints, coordinate with the concerned departments (based on the nature of the complaint) in the process of investigating/analyzing the complaint and resolving the same.
- 3.3.2 Complaint receipt procedures, including notifying the customer of the complaint receipt and complaint reference number.
- 3.3.3 Respond to client on the grievances raised within the stipulated deadline.
- 3.3.4 Maintain a Complaints Database to ensure that complaints are being captured and recorded in a comprehensive, accurate and timely manner.
- 3.3.5 Provide monthly reports to the Head of Compliance on the activities of the Complaints Unit, complaints received and resolved during the reporting period and status of open complaints.

### **3.4 Legal**

- 3.4.1 Provide legal advice to the Complaints Unit/business departments when requested, regarding complaints from clients.
- 3.4.2 Responsible to represent the company in litigation arising due to client complaints.

### **3.5 Business Units**

- 3.5.1 Responsible to address and settle complaints in coordination with the Complaints Unit in a timely and efficient manner.

3.5.2 Responsible to consult with Legal when required.

3.5.3 Whenever complaints have been found to be genuine, business units shall be responsible to assess the need for a change in existing policies and procedures or establish further controls to prevent re-occurrence of such complaints.

### 3.6 Internal Audit Function

3.6.1 Perform periodic independent audit reviews to assess the adequacy and effectiveness of the Complaints Unit operations, and provide recommendations on process improvement.

## A4. Complaints Handling Policy

### 1. Purpose:

The purpose of this section is to outline the policies for handling client complaints and resolving them in a timely and efficient manner.

### 2. Guiding principles of effective complaints handling

2.1 Sharq Investment's Complaints Handling process is based on the following guiding principles:

Principle	Sharq Investment's response
<b>Visibility</b>	Complaints reporting process is available on the Company Website and also internally by visiting SIC office and filling written complaint to complaint officer.
<b>Accessibility</b>	Complaints Handling Policy is readily accessible to clients, vendors and any other person associated with SIC.
<b>Responsiveness</b>	Receipt of each complaint is acknowledged to the "Complainant" promptly. Complaints will be handled in an efficient and effective manner. "Complainants" will be kept informed of the progress of their complaint throughout the complaint-handling process
<b>Objectivity</b>	Each complaint is addressed in an equitable, objective and unbiased manner through the complaints-handling process.
<b>Charges</b>	There are no charge to the complainant for making a complaint.
<b>Confidentiality</b>	Personally identifiable information concerning the "Complainant" is actively protected from disclosure unless the "Complainant" expressly consents to its disclosure.

<b>Client-focused approach</b>	All Directors, Top Management and employees of Sharq Investment, are committed to efficient and fair resolution of complaints. SIC actively solicit feedback from clients on a regular basis and acknowledge a client's right to complain
<b>Accountability</b>	All Directors, Top Management and employees accept responsibility for effective complaints handling.
<b>Continual Improvement</b>	SIC complaints handling process to be reviewed periodically to aim to enhance its efficient delivery of effective outcomes.

### 3. General Policy Statements

- 3.1 A "Complaint" under this Manual is defined as "An expression of dissatisfaction made to an organization, related to its products or provision of services, or the complaints-handling process itself, where a response or resolution is explicitly or implicitly expected".
- 3.2 Any client can raise a complaint with the Complaints Unit and shall be referred to as a "Complainant".
- 3.3 The Compliance unit shall have the ultimate responsibility over the Complaints Unit within the Company.
- 3.4 It shall be the responsibility of the Complaints Unit to treat each and every complaint with confidentiality and direct it only to the relevant individual/function for resolution.
- 3.5 The Complaints Unit shall be responsible to conduct the following activities:
  - 3.5.1 Receiving complaints;
  - 3.5.2 Notifying the client of receipt of the respective complaint (as appropriate);
  - 3.5.3 Logging the complaints in the Database;
  - 3.5.4 Following up with the concern business unit on complaints to ensure timely resolution;
  - 3.5.5 Responding to the "Complainant";
  - 3.5.6 Reporting to the Head of Compliance.
- 3.6 The Complaints Unit shall be granted absolute independence to practice its activities.



- 3.7 The Complaints Unit shall be granted access to review files, records (including electronic records), transactions, telephone call recordings, etc. of the complaining client, without the need for any prior-approvals.
- 3.8 Sharq Investment shall maintain a record of each complaint for five years from the submission thereof.
- 3.9 Sharq Investment may suspend consideration of a complaint submitted by a client if such a complaint is subject of legal proceedings.

#### **4. Specific Policy Statements**

##### **4.1 Receiving Complaints**

4.1.1 A “Complainant” shall be able to make complaints through the following modes of communication:

- 4.1.1.1 In person by submitting the Complaints Form (Refer to Appendix 3: Complaints Form) to the Complaints Unit;
- 4.1.1.2 By registered mail addressed to the Complaints Unit (Refer to Appendix 3: Complaints Form);
- 4.1.1.3 By email addressed to the Complaints Unit (Refer to Appendix: Complaints Form).
- 4.1.1.4 Complainant can also register it’s complain on company website ([www.sharqinv.com](http://www.sharqinv.com)).

Complaint forms available in company premises and can also be downloaded from company website.

4.1.2 Complaints Unit shall notify the client acknowledging the receipt of the respective complaint (as appropriate).

##### **4.2 Complaints Database**

4.2.1 It shall be the responsibility of the Complaints Unit to document each and every complaint in a Complaints Database that shall be maintained by the Complaints Unit.

4.2.2 The Complaints Database shall be maintained in the form of “E-File /Physical Files” with all the required information and supporting documents related to the complaint.

##### **4.3 Complaints Resolution**

4.3.1 The Head of Complaints Unit shall be responsible to assign the appropriate business unit for complaint resolution. The Complaints

Unit shall refer to the Head of Compliance for any clarification thereof, in relation to the process owner for the complaint received.

4.3.2 The assigned business unit shall be held responsible to conduct the relevant analysis/investigation for the complaints resolution. The Head of each business unit shall be responsible to lead/oversee the investigation.

4.3.3 The outcome of the investigation shall be presented to the Head of Compliance to determine how the client complaint is being redressed and what corrective measures are being undertaken to avoid re-occurrence and disciplinary action if required.

#### 4.4 Follow-up

4.4.1 The Complaints Unit shall follow up with the assigned business unit with regards to the resolution of the complaints in a timely manner.

4.4.2 Any delay in complaint resolution shall be escalated first to the Head of Compliance and to the Board (if required).

#### 4.5 Response and Closure

4.5.1 The Complaints Unit shall be committed to inform the “Complainant” of the steps taken in response to a complaint within a maximum period of thirty (30) days as of receipt of the complaint, and shall maintain adequate documentation in that regard.

4.5.2 It may not be possible on every occasion to resolve a client complaint within thirty days. In all such cases, the Complaints Unit shall be responsible to inform the “Complainant” of the reasons for the delay and specify a date when it will be in a position to finalise its response to the complaint.

4.5.3 If the complaint is not resolved within 30 days’ complaint officer to inform the same to compliance head who would inform SIC board of directors about complaint been not resolved within 30 days and also the reason for not been resolved and also the measures taken to resolve the complaint.

4.5.4 Compliance officer to mention in its biannual report to CMA about the complaint not been resolved within 30 days, the reason for the same & also measures taken to resolve.

4.5.5 Additionally, during the initial review or investigation stage, the Company may need to seek further clarification or documentation from the “Complainant” to assist in resolving the complaint. If the



Company has sought clarification or additional documentation from the “Complainant” and is awaiting response, it may not be able to meet the thirty-day commitment time-window. In such circumstances upon receipt of clarification or additional documentation from the “Complainant”, the Complaints Unit shall indicate when it expects to be able to finalize the complaint.

4.5.6 Complaints Unit must be cautious as not to disclose any material insider information to the “Complainant” when providing response on a complaint.

4.5.7 Complaint unit to maintain record of each complaint for five years from the date of complaint submission.

#### 4.6 Reporting

4.6.1 Sharq Investment shall send a report bi-annually to the Capital Market Authority concerning client complaints received during the period and the status of their resolution.

4.6.2 The report shall be compiled by the Complaints Unit and reviewed by the Head of Compliance prior to being released to the Capital Markets Authority.

4.6.3 The Complaints Unit shall be responsible to provide a quartely report to the Head of Compliance on the activities of the Complaints Unit, complaints received and resolved during the reporting period and status of open complaints.

4.6.4 The Head of Compliance shall provide quarterly updates to the Board on all matters of significant relevance related to the Complaints Unit, nature complaints received during the reporting period, measures taken to resolve them and status of open complaints etc.

## Section (B)

### PROCEDURES

#### B1. Introduction

Please refer to the policy section A1.

#### B2. Manual Administration

No.	Activities	Action Taken By
<b>1. Manual Distribution</b>		
1.	Forward the Manual and a Manual Distribution Form (see <u>Appendix 2: Manual Distribution Form</u> ) to the concerned person.	Head of Complaints Unit
2.	Sign and return the Manual Distribution Form to the Complaints Unit.	Concerned Person
<b>2. Updating the Manual</b>		
1.	Fill out the Request for Amendment Form (see <u>Appendix 3: Request for Amendment Form</u> ) and address it to the Head of Complaints Unit.	Concerned Person
2.	Discuss the need for amendments and agree/disagree with the concerned person on a course of action.	Head of Complaints Unit
3.	Forward proposed and agreed changes in step 2 to the Compliance for initial approval.	Head of Complaints Unit
4.	Present policy to the BOD for final approval.	Head of Compliance
5.	Communicate amendments in the Manual to concerned person.	Head of Complaints Unit

### B3. Complaint Unit Governance and Organization

Please refer to the policy section A3.

### B4. Complaints Handling Procedures

#### 1. Procedures

The procedures for handling complaints will mainly consist of 7 main activities. Details of these activities are described below.

No.	Activities	Action Taken by
<b>1. RECEIVING COMPLAINTS FROM THE CLIENT</b>		
1.1	Receive complaints from clients through the following modes: <ul style="list-style-type: none"> <li>• In person by submitting the unified complaint form to the Complaints Unit (see <b>Appendix 1: Complaints Form</b>);</li> <li>• By registered mail addressed to the Complaints Unit (see <b>Appendix 1: Complaints Form</b>);</li> <li>• By email addressed to the Complaints Unit (see <b>Appendix 1: Complaints Form</b>).</li> <li>• By registering the complaint on SIC website</li> </ul>	Complaints Unit
1.2	The Unified Complaints Form will be available in hard copy in Sharq Investment's premises or can be downloaded from the company's website	Complaints Unit
1.4	<b>Receiving complaints in Person/ Manually</b>	
	The Unified Complaints form will be placed at the Head Office	Complaints Unit
	For submitting complaints in person, the complainants will complete the Unified Complaints form and submit it to the reception	"Complainant"
	The complaints received will then be addressed individually	Complaints Unit
1.5	<b>By Registered mail</b>	
	Complaints received by registered mail will be directed to the Complaints Unit. The unified complaint form is available in the company's website under Complaints Unit tab	Reception
	The complaints received will then be addressed individually	Complaints Unit
1.6	<b>Receiving complaints through Email</b>	
	All complaints coming through email will be directed to the Complaints Unit. The unified complaint form is available in the company's website under Complaints Unit tab	-
	The complaints received will then be addressed individually	Complaints Unit
1.7	If complaints are not documented in the Unified Complaints form then the Complaints Unit will contact the Complainant to document complaints in the Unified Complaints form.	Complaints Unit
1.8	The receipt of the complaint is communicated to the client (as appropriate).	Complaints Unit

No.	Activities	Action Taken by
<b>2. COMPLAINTS DATABASE</b>		
2.1	Generate the record for the complaint received in the Complaint Database for both resolved and un-resolved complaints, in a sequential manner.	Complaints Unit
2.2	Populate the Complaint Database with details of the filed complaint. <ul style="list-style-type: none"> <li>• Date and time of complaint</li> <li>• Name of the Complainant</li> <li>• Civil ID # or Residence Number #</li> <li>• Email and phone number</li> <li>• Description of the complaint</li> <li>• Complaint category (Client)</li> <li>• Complaint type</li> <li>• Officer name</li> <li>• Action plan</li> <li>• Date of response of complaint</li> <li>• Follow-up details</li> <li>• Date of complaint resolution</li> <li>• Resolution Status (resolved/un-resolved)</li> </ul>	Complaints Unit
2.3	Initiate compilation of complaint physical file. Attach supporting documents and Unified Complaints Form.	Complaints Unit
<b>3. RESOLUTION OF COMPLAINTS</b>		
3.1	Notify responsible Business Unit in order to initiate investigation and resolution process and forward complaint file.	Complaints Unit
3.2	Receive notification of the complaint and complaint file. Assign the appropriate personnel for the review and resolution process.	Head of concerned Business Unit
3.3	If consultation with legal advisor is required, then consult Legal Department and document all communication with legal and attach with the complaint file.	Concerned Business Unit reviewer
3.3	Assess the complaint and inform the Complaints Unit of deadline for resolution.	Concerned Business Unit reviewer
3.5	Update the Complaints database with the review process with the deadline for resolution and monitor this process to be completed within 30 days.	Complaints Unit
3.6	Perform the necessary corrective action to resolve complaint in a manner consistent with the Company Policy.	Concerned Business Unit reviewer/Business Unit head

No.	Activities	Action Taken by
<b>4. FOLLOW-UP</b>		
4.1	Follow up with the responsible Business Unit for the timely resolution of all filed complaints.	Complaints Unit
4.2	If the complaint does not get a timely response, then contact Head of Compliance.	Complaints Unit
<b>5. RESPONSE AND CLOSURE</b>		
5.1	Prepare a formal written response to the “Complainant” based on the results of the investigation and forward this response to the Complaints Unit along with the complaint file including all supporting documentation	Business Unit Reviewer
5.2	Review written responses and supporting documentation to ascertain if the complaint has been handled in a just and fair manner.	Complaints Unit
5.3	Present the response to the Head of Compliance for review.	Complaints Unit
5.4	Review the written response to ascertain if due process was carried out in the investigating the complaint, actions being taken to resolve the issue and accordingly request for further information / investigation (If required).	Head of Compliance Board (if required)
5.5	Approve the formal written response to be forwarded to the “Complainant”.	Head of Compliance
5.6	Forward the written response to the “Complainant” within 30 days of complaint submission.	Complaints Unit
5.8	Document resolution on the Complaint Database along with supporting documentation.	Complaints Unit
5.10	Close complaint case and archive complaint file. Record of each complaint to be maintained for 5 years from the submission of complaint.	Complaints Unit
<b>6. REPORTING</b>		
6.1	Prepare biannual report for submission to CMA concerning client’s complaints.	Complaints Unit/ Compliance
6.2	Review the CMA report prior to its release	Head of Compliance
6.3	Prepare quarterly report for the Head of Compliance on the activities of the Complaints Unit, complaints received and resolved during the reporting period and status of open complaints.	Complaints Unit
6.4	Provide quarterly updates to the Board on all matters of significant relevance related to the Complaints Unit, nature complaints received during the reporting period, measures taken to resolve them and status of open complaints etc.	Head of Compliance





## Section (C)

### APPENDICE

#### Appendix 1: Manual Distribution Form

##### Manual Distribution Form

Manual for:

---

Distributed by:

---

Date of Distribution:

---

To the [*concerned party*],

When you sign this form, you agree to adhere to all cited policies and procedures attached in this manual.

You may be asked to sign additional material and changes thereto to give effect to these policies and procedures currently and in the future.

To acknowledge that you have reviewed and understood all of this material in the manual, please sign and date this form and return it to the Head of Complaints Unit within one week of receipt of this manual.

---

I acknowledge that I have read, understood, and I am subject to all of the material contained in this manual.

---

Signature

(Please print name)

Date





## Appendix 2: Request for Amendment Form

### Request for Amendment Form

Name of the person/entity requesting amendments: \_\_\_\_\_

Manual for: \_\_\_\_\_

Section/s Reference: \_\_\_\_\_

Policy/ies Code: \_\_\_\_\_

Policy/ies Name: \_\_\_\_\_

Description of needed amendments (issue):

---

---

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---

Proposed amendments (solution):

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**Proposed by:** \_\_\_\_\_ (Requesting entity)

**Reviewed by:** \_\_\_\_\_ (Head of Asset of Dept.)

**Approved by:** \_\_\_\_\_ (Board of Directors)

**Implementation Date:** \_\_\_\_\_ (as set by the Head of Asset Dept.)

### Appendix 3: Complaints Form #xxx

Date: / / التاريخ:

Client Name:	.....	اسم العميل:
Portfolio Number:	.....	رقم المحفظة:
Address:	.....	العنوان:
Phone/Mobile Number:	.....	رقم الهاتف:
Fax Number:	.....	الفاكس:
E-mail:	.....	البريد الإلكتروني:

\* Complaint Subject:

\* موضوع الشكوى:

.....

.....

.....

☐ No Documents attached.

☐ لا توجد مستندات.

☐ List of Documents (if any):

☐ بيان المستندات المرفقة (إن وجدت):

.....

#### Declaration:

#### الإقرارات:

- |  |   |
|--|---|
| 1- I declare that all the above given information and supporting documents are true and accurate.  | 1- أقر بأن جميع البيانات والمعلومات المثبتة أعلاه والمستندات المرفقة صحيحة ومطابقة للواقع.                                  |
| 2- I undertake full responsibility in case of any misleading or inaccurate statements contained therein.   | 2- أتحمّل المسؤولية القانونية كاملة في حال عدم صحة هذه المعلومات.   |
| 3- I also declare that the complaint subject is currently not being heard at any court, not any judicial application has been filed in this regard.  | 3- أقر بأن موضوع الشكوى غير منظور أمام القضاء.  |
| 4- I hereby comply by not taking any further action once a mutual agreement with the company for a corrective action has been reached, and a successful implementation has been completed. | 4- ألتزم بعدم اتخاذ أي إجراء في حالة الاتفاق مع الشركة على إجراء تصحيحي وحل لموضوع الشكوى وتتمام تنفيذ الشركة لهذا الإجراء. |
| 5- I further undertake not to re-submit the same complaint subject matter at concerned regulatory authorities.   | 5- أتعهد بعدم إعادة تقديم أي شكوى للجهة الرقابية المختصة عن ذات الموضوع.  |

#### Notes:

#### ملاحظات:

Please fill out the complaint form, sign it and send it as follows:

يرجى تعبئة نموذج الشكوى وتوقيعه وتسليمه بإحدى الطرق التالية:-

- |   |  |
|---|--|
| 1- In person to the Client Complaint Unit at Sharq Investment Company Address: Mirqab _ KBT Tower – 37 Floor.                                       | 1- الحضور شخصياً وتسليم النموذج باليد إلى وحدة شكاوى العملاء بالشركة بمقرها في المرقاب - شارع خالد بن الوليد - برج K.B.T - الدور 37.                   |
| 2- By post to the Head of Clients Complaint Unit, Address at: (P.O. Box:1245 – Dasman 15463 – Kuwait)   | 2- بالبريد الرسعي باسم رئيس وحدة شكاوى العملاء على العنوان: ص.ب: 1245 – دسمان 16451 – الكويت.  |
| 3- By E-mail to the head of Clients Complaint Unit at: <a href="mailto:client.compliant@Sharqinv.com">client.compliant@Sharqinv.com</a>             | 3- بالبريد الإلكتروني إلى السيد/ رئيس وحدة شكاوى العملاء على العنوان: <a href="mailto:client.compliant@Sharqinv.com">client.compliant@Sharqinv.com</a> |
| 4- The reply to the client shall be within (30) working days for complaints from the day of receiving the complaint by the Clients Complaints Unit. | 4- يتم الرد على الشكوى المقدمة من العميل خلال (30) يوم عمل من استلام وحدة شكاوى العملاء للشكوى.  |

Client Signature:	توقيع العميل:
-------------------	---------------

Share Holder Name:	.....	اسم المستثمر:
Address:	.....	العنوان:
Phone/Mobile Number:	.....	رقم الهاتف:
Fax Number:	.....	الفاكس:
E-mail:	.....	البريد الإلكتروني:

\* Complaint Subject:

\* موضوع الشكوى:

.....

.....

.....

☐ No Documents attached.

☐ لا توجد مستندات.

☐ List of Documents (if any):

☐ بيان المستندات المرفقة (إن وجدت):

.....

.....

Declaration:

الإقرارات:

- |     |   |     |  |
|-----|---|-----|--|
| 6-  | I declare that all the above given information and supporting documents are true and accurate.  | 6-  | أقر بأن جميع البيانات والمعلومات المثبتة أعلاه والمستندات المرفقة صحيحة ومطابقة للواقع.                                  |
| 7-  | I undertake full responsibility in case of any misleading or inaccurate statements contained therein.   | 7-  | أتحمل المسؤولية القانونية كاملة في حال عدم صحة هذه المعلومات.  |
| 8-  | I also declare that the complaint subject is currently not being heard at any court, not any judicial application has been filed in this regard.  | 8-  | أقر بأن موضوع الشكوى غير منظور أمام القضاء.  |
| 9-  | I hereby comply by not taking any further action once a mutual agreement with the company for a corrective action has been reached, and a successful implementation has been completed. | 9-  | ألتزم بعدم اتخاذ أي إجراء في حالة الاتفاق مع الشركة على إجراء تصحيحي وحل لموضوع الشكوى وتتمام تنفيذ الشركة لهذا الإجراء. |
| 10- | I further undertake not to re-submit the same complaint subject matter at concerned regulatory authorities.   | 10- | أتعهد بعدم إعادة تقديم أي شكوى للجهة الرقابية المختصة عن ذات الموضوع.  |

Notes:

ملاحظات:

Please fill out the complaint form, sign it and send it as follows:

يرجى تعبئة نموذج الشكوى وتوقيعه وتسليمه بإحدى الطرق التالية:-

- |    |  |    |  |
|----|--|----|--|
| 5- | In person to giving the shareholder Complaint form to the Complaints Unit at Sharq Investment Company Address: Mirqab _ KBT Tower – 37 Floor.  | 5- | الحضور شخصياً وتسليم النموذج باليد إلى وحدة شكاوى المستثمرين بالشركة بمقرها في المرقاب - شارع خالد بن الوليد - برج K.B.T - الدور 37.                         |
| 6- | By post to the Head of shareholder Complaint Unit, Address at: (P.O. Box:1245 – Dasman 15463 – Kuwait)   | 6- | بالبريد الرسمى باسم رئيس وحدة شكاوى المستثمرين على العنوان: ص.ب: 1245 – دسمان 16451 – الكويت.  |
| 7- | By E-mail to the head of Share Holder Complaint Unit at: <a href="mailto:investor.complaints@sharqinv.com">investor.complaints@sharqinv.com</a> the reply to the complaint form shall be within (30) working days for complaints from the day of receiving the complaint by the Complaints Unit. | 7- | بالبريد الإلكتروني إلى السيد/ رئيس وحدة شكاوى المستثمرين على العنوان: <a href="mailto:investor.complaints@sharqinv.com">investor.complaints@sharqinv.com</a> |
|    |  | 8- | يتم الرد على الشكوى المقدمة من المستثمرين خلال (30) يوم عمل من استلام وحدة شكاوى المستثمرين للشكوى.  |

Share Holder Signature:		توقيع المستثمر:
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\*\* End of the policy \*\*

Chairman

