





## 13. CONFLICT RESOLUTION

### Complaint Resolution Procedure

It is important to note that in the case of complaint, we advise that:

1. The client should first make his/her grievance(s) known to us stating his/her name, full address, Mobil number, e-mail, signature and date. It is expected that we resolve it within ten working days, otherwise either the complainant or we shall refer the case to Association of Stockbroking Houses of Nigeria (ASHON) within two working days.
2. Where the client is not satisfied with the decision of ASHON or that ASHON is unable to resolve the case within ten working days, either party can refer the matter to The Nigerian Stock Exchange (NSE) within two working days.
3. Should the decision of (NSE) not also be acceptable to the complainant, or the case not resolved within 10 working days, it should be referred to The Securities and Exchange Commission (SEC) within two working days by either party and SEC shall resolve it within 20 days.
4. Where the complainant is not satisfied with the decision reached by SEC, he/she has the right to proceed to the Investments and Securities Tribunal (IST).

### RISK TOLERANCE ASSESSMENT:

- Risk Averse       Risk Indifference       Risk Intolerance       Risk Taker

### INVESTMENT HORIZON/POSTURE:

- 1 year       2 Years       Over Two Years

### PAST INVESTMENT EXPERIENCE:

- Rewarding       Distateful       Inaccessible

### MANDATES / INSTRUCTION

Email: Admin@rainsec.com

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**NB:** Rainbow Securities accepts no liabilities for any communication outside the provided channels above.