

**Esentai Asset Management Ltd**

**COMPLAINT MANAGEMENT POLICY**

**TABLE OF CONTENTS**

1. GENERAL PROVISIONS
  2. DEFINITIONS
  3. FILING AND PROCESSING OF THE COMPLAINT
  4. CONTESTING THE DECISION ON THE COMPLAINT
- Appendix 1 COMPLAINT FORM

**1. GENERAL PROVISIONS**

1. This Complaint Management Policy (the “Complaint Policy”) has been developed by Esentai Asset Management Ltd, (the “Company”) in order to determine the procedure for filing and resolving Clients’ and their representatives’ complaints in connection with the provision Services specified in the Client’s Agreement.

**2. DEFINITIONS**

“**AFSA**” means Astana Financial Services Authority.

“**AIFC**” means the Astana International Financial Centre.

“**Complainant**” means an Individual or Legal entity who has the right to file or has already filed a complaint.

“**Complaint**” means any statement (whether delivered in writing or electronically) of the Client or any person acting on behalf the Client alleging a grievance involving the activities of those persons under the control of the Company in connection with the Company’s investment management of the Clients.

**3. FILING AND PROCESSING OF THE COMPLAINT**

3.1. The Complainant submits a complaint in a free form or fills out the form in Appendix 1 to this Complaint Policy to the email address: [info@esentai.finance](mailto:info@esentai.finance) with the subject of the letter “Complaint”.

3.2. The Company must confirm receipt of the Complaint within 3 (three) business days and send the unique number under which the Complaint was registered. After assigning a unique number, a unique number must be applied throughout the Complaint review process.

3.3. After receiving a Complaint, the Company must initiate an investigation into the factual circumstances related to any complaint received (written or oral).

3.4. The Company must maintain a separate file for all written, oral and electronically transmitted Complaints of Complainants containing the following information:

- Identification of each Complaint;
- Date of receipt of each Complaint;
- Identification of each employee serving the account;
- General description of the issue on which the Complaint is filed;
- Copies of all correspondence related to the complaint; and

## **Esentai Asset Management Ltd**

- A written report on the actions taken in relation to the complaint.

3.5. The Company should acknowledge with a complaint matter within 7 calendar days and to respond with preliminary results of investigation.

3.7. The final decision on the Complaint must be sent within 30 calendar days and contain a detailed explanation of the Company's position and ways to challenge the decision, as indicated in paragraph 4.2.

### **4. CONTESTING THE DECISION ON THE COMPLAINT**

4.1. The Complainant has the right to contest the decision on the Complaint if he/she is not satisfied with the final decision of Company.

4.2. The Complainant may contest the decision in the AIFC International Arbitration Center (IAC), in the AIFC Court or through the AFSA.

4.3. The Complainant may contact the following contacts to challenge the decision on the Complaint:

***i. AFSA:***

Astana International Financial Center Financial Services  
Authority  
Astana, 55/17 Mangilik El Avenue, C 3.2  
P.O. Box 010000, Republic of Kazakhstan  
Telephone: +7 7172 91 90 01 or 8 800 080 08 01  
Website: <http://www.afsa.aifc.kz>

***ii. AIFC International Arbitration Centre (IAC)***

Astana, 55/16 Mangilik El Avenue, C 3.1  
Level 1, P.O. Box 010000, Republic of Kazakhstan  
Telephone: +7 (717) 264 73 37 or +7 (701) 981 73 20  
E-mail: [info@aifc-iac.kz](mailto:info@aifc-iac.kz)

***iii. AIFC Court***

Astana, 55/16 Mangilik El Avenue, C 3.1  
Level 1, P.O. Box 010000, Republic of Kazakhstan  
Telephone: +7 (717) 264 73 37 or +7 (701) 981 73 20  
E-mail: [info@aifc-court.kz](mailto:info@aifc-court.kz)

COMPLAINT FORM

Date: \_\_\_/\_\_\_/\_\_\_\_\_

Full name	
Type of identity document, document number, date of issue, date of expiry	
Account number	
Contact details	
The reason for the complaint, a detailed description (Please attach supporting documents/screenshots)	
Financial Instrument (if applicable)	
The date of the last correspondence with the employee of the Company, the name and surname of the employee	
<p>All claims submitted to the Company must include properly completed copies of documents verifying the facts mentioned in the claim, along with the following documents:</p> <p>a notarized copy of the Client's identification document;  a document verifying the payment (Receipt);</p> <p><i>additionally, a notarized copy of the following may be requested: a contract for providing cellular communication services, signed with a mobile operator, which grants the Client the right to use the registered subscriber number in the System, etc.</i></p>	

Signature \_\_\_\_\_

Please print out this form, sign it and send the scan to the following contacts  
e-mail: \_\_\_\_\_