



**NIGERIAN INTERNATIONAL  
SECURITIES LIMITED**

## **THE COMPLAINTS MANAGEMENT POLICY AND PROCESS**

At **Nigerian International Securities Limited** (NISL), we strive for excellence in serving our clients with market best practices. In order to ensure this, we provide avenues for complaints management in line with regulatory requirements, should our clients have any complaints to lodge.

### **COMPLAINTS**

We see complaints as any expression of dissatisfaction by a client about our service delivery or expected regulatory or market obligations.

### **WHO CAN FILE A COMPLAINT?**

Any of our clients or Capital Market Operators (CMOs) may submit a complaint. If a complaint is being lodged on behalf of our client by a person or a group of persons, each should be identified and evidence of authority to represent such client(s) must be provided.

### **WHAT TYPES OF COMPLAINTS WILL NISL ATTEND TO?**

NISL will only attend to complaints within the confines of our market obligations to our clients and other market operators.

### **HOW TO LODGE A COMPLAINT OR FILE AN ENQUIRY**

- Download and complete the online complaint form on our website - URL: [www.nisl-ng.com](http://www.nisl-ng.com)
- Attach the completed complaint form to your letter and either:
  - Send by post to the address below  
  
Nigerian International Securities Ltd  
No 3, Alhaji Kanike Street  
Off Awolowo Road  
S.W. Ikoyi  
Lagos  
Nigeria
  - Or send by email to us at [info@nisl-ng.com](mailto:info@nisl-ng.com)

- **Or** Walk-in to the NISL building to submit your letter with the attached complaint form

Kindly note that we shall acknowledge receipt of complaints received by email within two (2) working days. Where complaints are received by post, we shall respond in writing within five (5) working days of the receipt of the complaint. In all instances, we shall forward copies of your complaint and the acknowledgement letter to our relevant Competent Authority.

### **WHAT HAPPENS AFTER A COMPLAINT IS FILED?**

NISL will review and evaluate each complaint in relation to regulations under its purview. It is NISL's policy to treat all complaints received on a confidential basis. As such, NISL will not disclose any sensitive information relating to the complaint to anyone, unless the information has been made public and/or the disclosure is required for regulatory action. NISL is poised to satisfy complaints with our first response and provide frank and honest response to any concerns raised. All complaints will be fully and fairly investigated. We will make reasonable endeavours to address all issues raised. However, where the client and NISL are unable to come to a joint resolution, the matter shall be referred to a Competent Authority.

### **INFORMATION TO BE INCLUDED IN YOUR COMPLAINT**

Kindly note that your complaint is expected to contain all material facts relating to the issue and should be backed with supporting documents where necessary. It shall also contain the following:

Your:

- (a) Name
- (b) Full Address
- (c) GSM number
- (d) E-mail address
- (e) Signature; and
- (f) Date

So, you are required to supply the above information any time you lodge your complaint.