

Clients Complaints Policy

1. Receiving of Complaints

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Location:

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Email: Compliance@Mizuho-sa.com

2 Recording and reporting of complaints

2.1 Upon receipt of complaints, the issue and relative staff being complained about the client must provide written explanation to the Compliance Officer within 3 working days.

2.2 The Chief Compliance Officer of MSAR shall report the claims made by customers or dispute with customer, which he believes, has the potential to materially affect the client, MSAR and/or other Mizuho entities. The report shall be provided to the Head Office in Tokyo Compliance in due course.

3. Settlement of complaints

3.1 A complaint must be investigated promptly and fully by the Compliance Officer and the relevant department head who was involved in the complaint.

3.2 The purposes of an internal investigation are to:

- (i)** Investigate the causes of complaint and the individuals involved.
- (ii)** Assess whether and how MSAR should settle the complaint and move forward with keeping the client content with the outcome of the through post-complaint process.
- (iii)** Identify any deficiencies of the existing system of internal controls and procedures in use and initiate any changes thereto where necessary which lead to the complaint, and take further action preventing similar issues arising in the future.

2.3 In conducting an investigation, the Compliance Officer will require full co-operation from all employees and the production of any relevant documents. The results of the investigation will be reported to the CEO and if necessary, to the Compliance Promotion Department in Europe.

Appendix

Client Compliant Registration Form

**Mizuho Saudi Arabia
Client Complaint Registration Form**

Date & time of complaint	/ / DD/MM/YY
Client name	Mr., Mrs., Miss.
Account no.	
Contact telephone	Residence : Office : Pager/Mobile :
Name of employee being complained (if any)	
Nature of complaint :	
Financial loss (if any) alleged : SR	
What you said to the client	

Signature: _____ Date: _____