

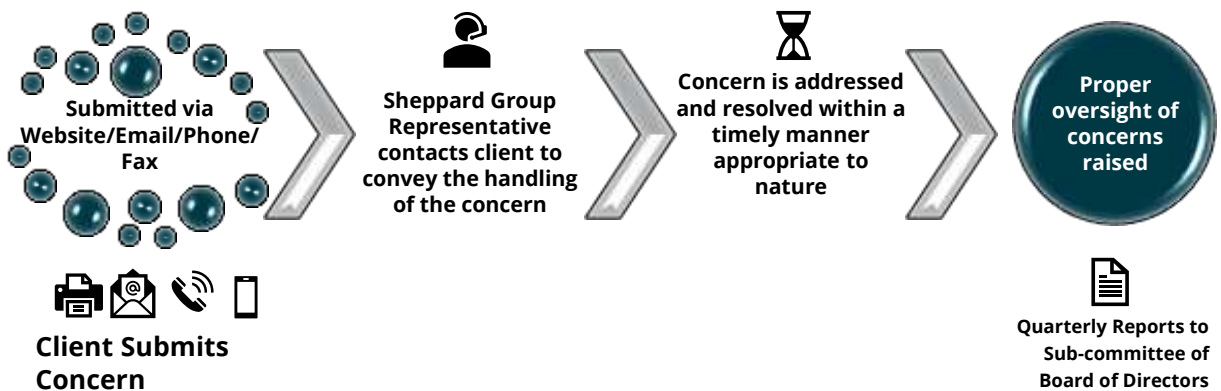


Sheppard Group Customer Resolution Guidelines

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1 CLIENT CONCERN MANAGEMENT



1.1 Communicating a concern

Clients can submit their concerns through a variety of different channels, including:

- 1.1.1 Online via our website: <https://sheppard.tt/client-feedback/>
(Press ctrl and right click the link to be directed to the resolution page).
- 1.1.2 Email: customersupport@sheppard.tt
- 1.1.3 Phone: 868-222-5192
- 1.1.4 Fax: 868-222-5193

1.2 Receiving a concern

When a communication is received, the client will be contacted by the next working day to be advised that the concern has been received, the matter is being dealt with and will be resolved as swiftly as possible.

1.3 Review and Resolution of Client Communications.

- 1.3.1 Correspondence from the client will be sent to the Head of the Department, dependent on the category or nature of the concern received.
- 1.3.2 The relevant Head of Department will then review and investigate the details of each client's communication.
- 1.3.3 All written concerns received will be responded to in writing.
- 1.3.4 The Sheppard Group recognizes that it may be difficult to establish a set time for resolution, as some concerns can be resolved within a week whereas others may require more time.
For this reason, each individual concern within will be addressed within the most

reasonable time possible.

For concerns that are lengthy in nature, clients will be updated on the 10th working day from the time the correspondence was received, even if it has not yet been fully resolved.

1.4 Record of Client Resolution

All client concerns received by the Sheppard Group will be maintained in a register and updated as necessary by the Regulatory Compliance Officer.

Each Sheppard business entity will be maintained in a separate register and reported to a sub-committee of the Board of Directors for proper oversight on a quarterly basis.