

Dispute Resolution Procedure and Fees

1. Dispute arises:

Send email to dispute.dde@dmcc. Complaint should include:

- Full details of all parties
- Set out the background of the complaint, including timelines
- Attach supporting documents
- Clearly state what the complainant is seeking by way of remedy

Complaint can be between DDE members or against a DDE member (subject to board approval)

2. Processing a complaint:

Company Secretary to review and clarify any details. Recommendation made to Dispute Resolution Committee for Investigation, Arbitration, or Mediation.

3. Disciplinary Investigation:

If there is reason to believe that the DDE Member has not complied with the Code of Business Conduct the DDE Dispute Resolution Committee may conduct and investigation into that Member.

4. Disciplinary Procedure:

- Notice is given to DDE Member of complaint & start of investigation (including details of the complaint).
- Member has five business days to respond.
- Company Secretary may consider an investigation hearing.
- If DDE Member fails to attend or submit information to the hearing the company secretary will base the investigation on the information available.
- The Company Secretary shall report the findings to the DDE Dispute Resolution Committee.

5. Disciplinary Sanctions:

If the DDE Dispute Resolution Committee finds merit in the complaint(s) it will make a recommendation to the DDE Board one or more of the following sanctions to be imposed on the relevant DDE Member:

- Carry out a mandatory instruction (eg letter of apology or return of property).

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- A fine payable to DDE
 - A fine payable to the complainant or another 3rd party.
 - Suspension of DDE Membership for a Specified period.
 - Termination of DDE Membership
 - A recommendation for the DDE Member to be banned from all WFDB affiliated bourses.

DDE Dispute Resolution Committee can propose mediation at any time. Decision of the DDE Board is final and binding.

DDE Dispute Resolution Fees:

- **Arbitration Fee: AED 15,000**
- **Mediation Fee: AED 5,000**

(all fees exclude KD, ID fees and VAT, if applicable)