

PROCEDURES FOR RESOLVING CUSTOMER COMPLAINTS

Definition of a Complaint

Under the complaint handling rules, Forex Global Markets (FXGM) Ltd (hereinafter called the “Company”) must deal with any expression of dissatisfaction about any financial services activity provided or withheld by the Company. Complaints should be in writing on the specified form provided by the Company. We consider it important that we deal properly with any reasonable complaint made by a customer, whatever the subject matter of the complaint.

Procedure

The Compliance Officer will deal with the customer complaints unless in cases where there might be a conflict of interest in which case the Chief Operations Officer will deal with such a complaint.

- Any received complaint will be forwarded to the Compliance Officer within 48 hours. With the completed Complaints form. (See Below)
- A written acknowledgment will be sent within 48 hours to the complainant confirming name and job title of the person dealing with the complaint, together with details of the Company complaint handling procedures.
- Within 4 weeks of receipt the Company will send the complainant a Final Response or a Holding response, which will explain why it is not yet in a position to resolve the complaint and give an indication of when further contact will be made. (This must be within 8 weeks of receipt)
- Within 8 weeks of receipt of the complaint the Company will send the complainant either:
 - a) A Final Response
 - b) A response which explains why a final response can not be given with an explanation as to why and an indication of when we anticipate on providing a final response
- Upon sending the final response to the complainant the customer will have 8 weeks to respond.
- If a response is not received within 8 weeks then the Company is not obliged to take the complaint further unless further correspondence is received from the client indicating that they are still dissatisfied.
- The Company will inform the client that he may refer the complaint with a copy of the final response within a period of 6 months to the competent authorities for further investigation if deemed to be appropriate.

Client Complaint Form

Name of Client:

File Number:

Date:

Client Contact Details:

Nature of Complaint: (please state full details)

Client Signature:

For Official Use

Complaint Received By:

Action Taken:

Initial Response within 48 hours:

Informed Client of Initial Action Taken: – Yes – No

5 Day follow-up:

Informed Client of any further action taken:

File handed on to Compliance Officer – Yes **(name)** - No

Signature of Officer:

Date: