

# COMPLAINT HANDLING POLICY

Version No 2.0

# Complaint Handling Policy

ACG Markets LTD



## About ACG Markets

ACG Markets Ltd is a Company incorporated and registered under the laws of Seychelles with Company number 8434915-1. The Company is licensed and regulated as a securities dealer by the Financial Services Authority under license number SD182.

## Purpose

ACG Markets Ltd (hereinafter the “Company”) aims to provide superior services to all of its Clients, however there are times when things go wrong and clients may need to complain about the service they have received.

In the unlikely event a client does need to lodge a complaint we have implemented this policy to ensure complaints are handled fairly.

The Company has appointed a Compliance Officer to efficiently ensure the proper handling of any complaints from Clients. This is to allow the Company to resolve and apply mandatory measures to avoid any recurring issues.

## Definition

A Complaint is defined as an expression of dissatisfaction by the customer in respect of the products or services provided by the Company, or the conduct of the Company in the provisioning of products or services, and where a response or resolution is expected by the financial consumer, and the term “complainant” shall be construed accordingly

## Responsibilities

The Compliance Officer shall be responsible to ensure the proper handling of Client complaints, except in the case where the complaint involves the Compliance Officer, whereby the complaint shall be handled by the Representative Officer.

## Submitting a complaint

The Complainant should report the event, the date the problem that occurred, the subject of the complaint and provide all supplementary evidence to the Company as soon as possible. This is necessary to enable the Company to investigate the complaint as efficiently as possible and provide a timely response. The complainant should also indicate what action they require us to take in order to resolve the complaint. The complainant may register a complaint by completing the complaint form below, using any of the following options:

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<b>E-Mail</b>	<a href="mailto:compliance@acg-markets.com">compliance@acg-markets.com</a>
<b>Client Portal</b>	Please log in to your client portal and follow the link to complete the complaint form
<b>Postal address</b>	ACG MARKETS LTD, CT House, Office 9A, Providence, Mahe, Seychelles

## ACG Markets Investigation Procedure and Timescales

During the investigation process, ACG Markets will make all necessary checks, liaise internally and gather all related information in order to provide an impartial response to the Client's complaint.

1. When the Company receives the Client's complaint then a written acknowledgement will be sent to the Client within 7 business days;
2. The Company will attempt to provide a final response within 21 business days however in case we are still not in a position to resolve the issue by then the Company will notify you of this in writing stating the reasons for the delay and indicate an estimated time to resolve the issue;
3. A final response should be provided to the Client within 60 business days from the date he submitted his complaint;
4. In the case where the complainant is still not satisfied with the Company's final response, then the complainant can refer his complaint with a copy of the Company's final response to the Financial Services Authority (FSA) in Seychelles for further examination.

The contact details for the Financial Services Authority (FSA) in Seychelles are set out below:

<b>Website</b>	<a href="http://fsaseychelles.sc/index.php/contact-us">http://fsaseychelles.sc/index.php/contact-us</a>
<b>Address</b>	PO box 991, Bois de Rose Avenue, Roche Caiman Victoria, Mahe, Republic of Seychelles
<b>Phone</b>	(+248) 438 08 00
<b>E-Mail</b>	<a href="mailto:complaints@fsaseychelles.sc">complaints@fsaseychelles.sc</a>

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## Client Records

The Company shall maintain a Complaint Registry in accordance with the Financial Consumer Protection Act and ensure that it is regularly updated to include all submitted complaints.

The Company record keeps the data needed for the settlement of the complaint. The Company manages complaints within a transparent system; they could be traced and administered in each and every stage of the procedure. The Company shall preserve every written or electronic document related to complaints for a period of 7 years. The Company shall be entitled to prepare statistics and reports about complaints, which will be aimed at improving the efficiency of administering complaints.

## Complaint Form

### A. Client Information:

Name:	Account Number:
Address:	Telephone Number:

### B. Type Of Complaint

1. Execution of Orders	<input type="checkbox"/>
2. Quality or lack of information provided	<input type="checkbox"/>
3. Terms and Conditions/Fees/Charges	<input type="checkbox"/>
4. General admin/Customer Services	<input type="checkbox"/>
5. Unauthorized business being offered	<input type="checkbox"/>
6. Issue in relation to withdrawal of funds	<input type="checkbox"/>
7. Other (specify)	<input type="checkbox"/>

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## C. Brief Summary of the Complaint:

Please describe the product or service you are complaining about (description, evidence, amount and suggested way to be solved):

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- Please enclose any other relevant documentation that may help us to handle the complaint.
- Possible documentation to be provided (client statement, correspondence with the Company as well as any other supporting documentation to be requested by the Company which is relevant to the Client's complaint)

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Date and place

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Client Signature

## For internal use only:

Complaint Received By:	Date:
Acknowledgement sent to Client:	<input type="checkbox"/> Yes <input type="checkbox"/> No
Informed Client of initial action:	<input type="checkbox"/> Yes <input type="checkbox"/> No
Final response provided to Client:	<input type="checkbox"/> Yes <input type="checkbox"/> No
Holding response provided to Client:	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A