



Complaint Handling Procedure

LEGAL INFORMATION

TradoMart LTD (hereinafter referred to as '**TradoMart**' or the 'Company') is an investment firm that operates globally.

TradoMart is incorporated in the Republic of Cyprus with Certificate of Incorporation No. HE 266937. The Company is authorised and regulated by the Cyprus Securities and Exchange Commission ('CySEC'), with licence No. 266/15, and operates under the Provision of Investment Services, the Exercise of Investment Activities, the Operation of Regulated Markets and Other Related Matters Law of 2007, Law 144(I)/2007, as subsequently amended from time to time (the Law). The Company's office is located at Anastasi Sioukri & Olympion, Themis Tower, 6th Floor, 3035, Limassol, Cyprus.

The Customer acknowledges that the Company's official language is English.

INTRODUCTION

- Under the Law the Company is required to have in place and disclose to its Client's a Complaint's Handling Procedure ('the Procedure'), which is described in this document.
- The Company is operating under Directive 2004/39/EC of the European Parliament and of the Council of 21 April 2004 on markets in financial instruments amending Council Directives 85/611/EEC and 93/6/EEC and Directive 2000/12/EC of the European Parliament and of the Council and repealing Council Directive 93/22/EEC, as the same may be in force from time to time and modified or amended from time to time (the "Markets in Financial Instruments Directive (2004/39/EC)" or "MiFID").

This notice is provided to you in accordance with the Markets in Financial Instrument Directive (MiFID) of the European Union because you are considering dealing with the Company in the financial instrument provided by the Company ("Financial Instruments").

INTERPRETATION OF TERMS

- Unless indicated to the company, the terms included in this Complaint Handling Procedure shall have a specific meaning and may be used in the singular or plural as appropriate.
- **TradoMart** Client (or 'client') shall have the same meaning as the 'client' referred to in the **TradoMart** Client agreement, as amended from time to time.

SCOPE OF THE COMPLAINT HANDLING PROCEDURE

- The Complaint Handling Procedure ('the Procedure') sets out the processes employed when

dealing with complaints received by clients

DEFINITION OF COMPLAINT

- A complaint is an expression of dissatisfaction by a client regarding the provision of investment and/or ancillary services provided by **TradoMart**.
- A complaint shall include:
 - The client's full name
 - The client's trading account number
 - The affected transaction numbers, if applicable
 - The date and time that the issue arose
 - A description of the issue
- A complaint must not include offensive language directed either to the Company or a Company employee.
- **TradoMart** may, as its discretion, refuse to handle a complaint if requirements contained in paragraphs above, are not fulfilled.

PROCEDURE

- All complaints must be in writing using the "Customer Complaints Form" in Appendix 1 and shall be addressed, to the Compliance Department (compliance@forexmart.com), which will independently and impartially investigate the Complaint. If the Complaint is against the Compliance Department it will be escalated to the General Manager.
- When the Compliance Officer receives the Client's complaint then a written acknowledgement will be sent to the Client confirming the name and job title of the person dealing with the complaint within five (5) business days.

This Acknowledgement will confirm the **Complaint Reference Number** and any necessary action required to resolve the complaint and will contain details of our Complaints Handling Procedure.

The Acknowledgement will also inform the Complainant of their right to refer the Complaint the Financial Ombudsman if they are dissatisfied with our assessment and ruling.

- The Company will then gather and investigate all relevant evidence and information regarding the complaint.
- The Compliance Department shall thoroughly examine any complaints as required (taking into account any information contained within the books and records of the Company (including but not limited to the client's trading account journal) and reach a fair outcome.
- The Compliance Department shall:

- a. Send an initial response to the *client* within fifteen (15) business days
 - b. Resolve *complaints* as soon as reasonably practicable
- Further Acknowledgment: In the Situation whereby the complainant responds to the Initial Response then again the Compliance Department will acknowledge receipt of that response within five (5) business days.
- Final Response: Once the Company has completed its investigation the client will receive a Final Response within thirty (30) business days. The Response will include a summary outcome of the Company's investigation. Where appropriate, it may also include a final offer of redress.
- If by this time the Company is still not in a position to resolve the issue then the Compliance Officer will notify you in writing stating the reasons for the delay and indicate an estimated time to resolve the issue.
- The Company will endeavour to resolve all complaints within 3 months.
- If the Client is not satisfied the client may refer the complaint to the CySEC or the Financial Ombudsman. The complaints forms are available at: <http://www.cysec.gov.cy/en-GB/complaints/cifs/> or <http://www.financialombudsman.gov.cy/>
- All complaints shall be treated confidentially and the Company will endeavour to ensure all Communication is in plain language which is clearly understood.

COMPLAINTS REGISTER

- The Company stores all complaints it receives on an internal archive, as quickly as possible, and in an appropriate manner.
- The Company is required to provide to the CySEC information regarding the complaints it receives via an electronic form to the Commission on a monthly basis.

FAQs

Questions regarding this Procedure should be addressed, in the first instance, to the Customer Support Department.

CONTACTS

Customer Support Department

support@forexmart.com

Compliance Department

compliance@forexmart.com

AMENDMENTS

The Company analyses, on an on-going basis, complaints handling data , to ensure that they identify and address any recurring or systemic problems, and potential legal and operational risks, for example by:

- (a) Analysing the causes of individual complaints so as to identify root causes common to types of complaints,
- (b) Considering whether such root causes also affect other processes or financial means, including those not directly complained of; and
- (c) Correcting, where reasonable to do so, such root causes.

APPENDIX I. Customer Complaint Form

CUSTOMER COMPLAINT FORM

A. Client Information:

Name:	Account Number:
Address:	Telephone Number:

B. Brief Summary of the Complaint:

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

Please enclose any other relevant documentation that may help us to handle the complaint.

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Date and Place

Client Signature

For internal use only:

Complaint received by:

Date of reception:

Reference number:

Department involved:

Initial response to client: Yes No

Date:

Initial Action Taken:

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Informed Client of Initial Action Taken: Yes No

Date:

Further Action Taken: Yes No

Date:

Further Action Taken:

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File handed on to General Manager: Yes No

Date:

Settlement of Complaint: Yes No

Date:

Summary of how the complaint was settled:

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Signature of responsible Officer:

Date:

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