



FIRST PRUDENTIAL MARKETS (GLOBAL), INC

COMPLAINTS PROCEDURE FOR CLIENTS

Last Updated on 30th September 2019

We, FIRST PRUDENTIAL MARKETS (GLOBAL), INC (the "Company"), have adopted this Complaints Procedure in order to ensure a fair and quick process for handling complaints that may arise from our relationship.

1. Submitting your Complaint

You may submit your complaint in writing and addressed to the Compliance officer of the Company who is authorized to handle and investigate complaints that may be submitted from our Clients.

Please use the relevant Complaints Form attached herein and submit it in any of the following ways:

1. By sending by post or delivering in person the attached Complaints Form at the following address: [*]
2. By submitting the Complaints Form electronically at the following email address: [*]
3. By Facsimile at: [*]

Once you successfully complete and submit your complaint, the Compliance Department of the Company shall handle and investigate your complaint.

2. Acknowledging your Complaint

We will acknowledge receipt of your complaint within five (5) days from the receipt of your complaint and provide you the unique reference number of your complaint. The unique reference number should be used in all your future contact with the Company and/or the SCB regarding the specific complaint.

3. Handling of your Complaint

Once we acknowledge receipt of your complaint we will review it carefully, investigate the circumstances surrounding your complaint and will try to resolve it without undue delay. One of our officers may contact you directly (including communication by email or phone) in order to obtain further clarifications and information relating to your complaint. We shall need your cooperation in order to handle your complaint.

We shall make every effort to investigate your complaint and provide you with the outcome of our investigation within two (2) months from the date you have submitted your complaint to us. During the investigation process will keep you updated of the handling process of your complaint.

In the event that your complaint requires further investigation and we cannot resolve it within two (2) months, we will issue a holding response in writing or other durable medium. When a holding response is sent, it will indicate the causes of the delay and when the Company's investigation is likely to be completed. In any event, we shall provide you with the outcome of our investigation no later than one (1) month from the issuing of the holding response, depending on the complexity of the case and your cooperation. Please note that the Company shall consider your complaint as closed and cease the relevant investigation in case you fail to respond to our officers within the period of three (3) months from the date of the submission of your complaint.

4. Final Decision

When we reach an outcome we will inform you of it together with an explanation of our position and any remedy measures we intend to take (if applicable).

1. Contact Details of the Securities Commission of the Bahamas:

Website: www.fpmarkets.com

General email: supportteam@fpmarkets.com

Postal Address: Mundo Advisors, 201 Church Street, Sandyport, West Bay Street, P.O. Box N-3406, Nassau, Bahamas

Telephone: +44 28 2544 7780

Fax: +[*]

It is understood that your right to take legal action remains unaffected by the existence or use of any complaints procedures referred to above.

Client Complaints Form

This is the form you need to fill in if you wish to submit your complaint to First Prudential Markets (Global), Inc. Complete, up-to-date as well as accurate information is required to be provided to the Company for the proper investigation and evaluation of your complaint.

Please note that the below Complaint Form is only indicative and not exhaustive. The Company may request further information and/or clarifications and/or evidence as regards your complaint.

1. CLIENT DETAILS:	
1.1	Full Name:
1.2	Registered Email:
1.3	Trading Account Number:
1.4	Nature of Complaint: (please state full details: like date and time the incident occurred, Incident Description, Tickets of all disputable positions and/or Pending Orders department, financial loss, employee who offered services: In case additional space is required for the description of the complaint, please use form
1.5	Please provide below the name(s) of the contact person(s) of First Prudential Markets (Global), Inc at the time of your complaint:
1.5.1	Contact Person:
1.5.2	Contact Person's Email:
1.5.3	Additional Contact's Name:
1.5.4	Additional Contact's Email:

2. NATURE OF COMPLAINT:	
2.1	Please provide a Summary of your complaint in the space provided below. Please try to justify the disputed amount and/or to include details that will facilitate the Company in investigating your complaint:
2.2	When did the issue you are complaining about take place? * Please enter the date:
2.3	When did you first notice that there might be a problem? * Please enter the date:
2.4	Have you communicated your complaint to First Prudential Markets (Global), Inc and/or its associates? *

2.5	<p>If your answer to the above question is YES, then please state the date you first informed First Prudential Markets (Global), Inc and or its associates of your co discussed your complaint with:</p> <p>Please Enter the Date:</p>
2.6	<p>First Prudential Markets (Global), Inc Representative's Name</p> <p>Please, enter the First Prudential Markets (Global), Inc representative's name:</p>
2.7	<p>First Prudential Markets (Global), Inc's Email</p> <p>Please, enter the First Prudential Markets (Global), Inc representative's email:</p>
2.8	<p>Method of Communication:</p>
2.9	<p>Have you reported your complaint to any authority? *</p>
2.10	<p>If you answered Yes to the above, which financial authority have you contacted?</p>
2.11	<p>Please attach together with this form any supporting evidence to your claim that will facilitate the Company's investigation of your complaint. Supporting evidence may consist of any documentation (screenshots, chats, phone records etc) relevant to the complaint.</p>

Signature:

Date:

For Official Use Only	
Received on:	Assigned to:
Received by:	Signature

**Should you have any questions or enquiries, please don't
hesitate to contact FP Markets**

T: +44 28 2544 7780