

# Complaint Handling Procedure

Tradomart SV Ltd.

August 2018

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## LEGAL INFORMATION

Tradomart SV Ltd. is a company incorporated under the Laws of Saint Vincent and the Grenadines with Registration Number 23071 IBC 2015 having its head office at Shamrock Lodge, Murray Road, Kingston St. Vincent & the Grenadines and rendering the investment and ancillary Services (hereinafter the “Company”) to its Clients through the Trading Platform. For more information please visit [www.forexmart.com](http://www.forexmart.com).

## INTRODUCTION AND SCOPE OF THE COMPLAINT HANDLING PROCEDURE

The present Complaint Handling Procedure (hereinafter the Procedure) discloses the details regarding the terms and processes set out in the Company when dealing with a complaint received from its Client and shall be binding for the Company and the Client.

## 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.

## DEFINITION OF COMPLAINT

A complaint is an expression of dissatisfaction by the Client regarding the provision of investment and/or ancillary services provided by the Company.

A complaint shall include:

- The client’s full name;
- The client’s trading account ;
- 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.*

*The Company may, as its sole discretion, refuse to handle a complaint if requirements contained in paragraphs above, are not fulfilled.*

## **PROCEDURE**

All complaints must be in writing and shall be addressed, in the first instance, to the Clients Support Department. If the Client receives a response from the Clients Support Department but deems that the complaint needs to be raised further the client may either ask the Clients Support Department to escalate it to the Compliance Department or directly contact the Compliance Department [compliance@forexmart.com](mailto:compliance@forexmart.com), which will independently and impartially investigate.

Both the Support Department and the Compliance Department shall:

- Acknowledge receipt of the Complaint to the Client within five (5) business days. This Acknowledgement will confirm the necessary action required to resolve the complaint and will contain details of our Complaint Handling Procedure, and of your right to refer the Complaint the Financial Ombudsman if you are dissatisfied with our assessment and ruling;
- Send an initial response to the Client within fifteen (15) business days fully reporting of the investigation that took place, any findings thus far and, if appropriate, any offer of redress;
- Further Acknowledgment: In the Situation whereby the complainant responds to the Initial Response then again the Compliance /Support 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 after 5 weeks of receiving the complaint we are 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;

When the complainant has received the final response he will have 5 weeks to respond. If no response has been received from the complainant indicating that he is still dissatisfied with the explanation then the Complaint will be considered as resolved.

The Compliance Department shall investigate the complaint and revert to the Client within a maximum period of eight (8) weeks.

The Company will always try to resolve complaints as soon as reasonably practicable keeping the Client up to date and informed accordingly.

Both Support Department and Compliance Department shall thoroughly examine any complaints as required (taking into account any information contained within the books and record of the Firm, including but not limited to the client's trading account journal) and reach a fair outcome.

- All complaints shall be treated confidentially.

**FAQs**

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

**CONTACTS**

Clients Support Department [support@forexmart.com](mailto:support@forexmart.com)  
Compliance Department [compliance@forexmart.com](mailto:compliance@forexmart.com)

**APPENDIX I. Customer Complaint Form**

A. Client Information:

Name:	Account number:
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Address:	Phone number:
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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

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Client's 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:

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File handed on to General Manager:    Yes                      No

Date: .....

Summary of how the complaint was settled:

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Signature of responsible Officer:

Date:

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