

## COMPLAINT HANDLING PROCEDURE

### 1. INTERPRETATION OF TERMS

1.1 Unless indicated to the contrary, the terms included in this Report shall have a specific meaning and may be used in the singular or plural as appropriate.

1.2 Client means the 'Client' as defined in the 'Client Agreement' available online at [www.fullertonmarkets.com](http://www.fullertonmarkets.com)

### 2. INTRODUCTION

2.1 Fullerton Markets International Limited (hereinafter called the "Company") is an entity incorporated under the International Business Companies (Amendment and Consolidation) Act, Chapter 149 of the Revised Laws of Saint Vincent of the Grenadines, 2009, with the following registrations: Company Number 24426 IBC 2017.

### 3. SCOPE OF THE COMPLAINTS HANDLING PROCEDURE

3.1 The Complaints Handling Procedure ('the Procedure') sets out the processes employed when dealing with complaints received by clients.

### 4. DEFINITION OF A COMPLAINT

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

4.2 A complaint shall include:

- the client's name and surname
- the client's trading account number;
- the affected transaction numbers, if applicable;
- the date and time that the issue arose; and
- a description of the issue.

4.3 A complaint must not include offensive language directed either to the Company or a Company's employee.

4.4 The Company may, at its discretion, refuse to handle a complaint if requirements contained in paragraphs 4.2 and 4.3, above, are not fulfilled.

## **5. PROCEDURE**

5.1 All complaints must be in writing and shall be addressed, in the first instance, to the Customer Support Department. If the client receives a response from the Customer Support Department but deems that the complaint needs to be raised further the client may either, ask the Customer Support Department to escalate it to the Compliance Department or directly contact the Compliance Department, which will independently and impartially investigate it.

5.2 Both the Customer Support Department and 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.

5.3 Both the Customer Support Department and the Compliance Department shall:

- (i) send an initial response to the client within 7 (seven) business days,
- (ii) resolve complaints as soon as reasonably practicable and
- (iii) inform the client accordingly.

5.4 All complaints shall be treated confidentially.

## **6. RELEVANT DEPARTMENT**

6.1 Customer Service Department

Email: [support@fullertonmarkets.com](mailto:support@fullertonmarkets.com)

6.2 Compliance Department

Email: [compliance@fullertonmarkets.com](mailto:compliance@fullertonmarkets.com)

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