

# COMPLAINTS HANDLING POLICY

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## Table of Contents

1.	INTRODUCTION.....	3
2.	SUBMITTING A “QUERY” OR “DISPUTE”.....	3
3.	OFFICIAL COMPLAINT .....	4
3.1.	What constitutes an official complaint:.....	4
3.2.	Procedure for submitting an official complaint:.....	4
3.3.	Acknowledging your complaint.....	4
4.	HANDLING OF COMPLAINT.....	5
5.	FINAL DECISION .....	5
5.1.	Contact Details of the Financial Ombudsman of the Republic of Cyprus: .....	6
5.2.	Contact Details of the Cyprus Securities and Exchange Commission: .....	6
6.	RECORD KEEPING.....	7
	COMPLAINTS FORM .....	8



## 1. INTRODUCTION

**FXGlobe Limited** (hereinafter, the "Company"), following the implementation of the Markets in Financial Instruments Directive 2014/65/EU ("MiFID II") and taking to consideration the provisions of the Financial Services and Activities and Regulated Markets Law 87(I) 2017 (the "Law"), has established, implemented and maintain effective and transparent procedures for handling Clients complaints received (either from retail clients or potential retail clients) and to maintain adequate records of each complaint and the measures taken for the complaint's resolution; (hereafter "the Procedure").

The Procedure has been approved by the Company's Senior Management and Board of Directors.

This Procedure together with any Schedules and the Client Agreement is provided to you and includes all the relevant information related to the handling and managing of the complaints which may arise during your business relationship with the Company.

The following definitions are included herein for clarification and understanding:

**"Query"** – a general request for data or information or assistance.

**"Dispute"** - a disagreement between two or more parties and it can arise over different issues.

**"Complaint"** - a statement of dissatisfaction or expression of dislike, addressed to the Company by a client (either physical person or legal person) in relation to the provision of investment and/or ancillary services offered by the Company.

**"Complainant"** – person; Physical or Legal; who has opened a trading account with the Company, has agreed to the Terms and Conditions of the Company and has submitted an Official Complaint through the designated means indicated by the Company in this Procedure.

## 2. SUBMITTING A "QUERY" OR "DISPUTE"

In case where the client wishes to submit a "query" or a "dispute" (as defined above) or if has any query with regards to his/her account or trading activity, the Client may contact the Company through the following means of communication:

- i. **Via email** to [support@fxglobe.eu](mailto:support@fxglobe.eu) which will be handled by the Company's Customer Support Team
- ii. **Telephone**: +357-22222694
- iii. **Live Chat**: <https://fxglobe.eu/contact/> by filling up the online form appeared therein.

Depending on the information submitted by Client, the Customer Support Team will contact the client to assist with immediate resolution of the case. If deemed necessary, the Customer Support Team will request additional information to further investigate the matter.



In the event where the clients' query/dispute cannot be resolved immediately, then the Customer Support Team will inform the client accordingly and will proceed with the required actions to resolve as prompt as possible the issue.

### 3. OFFICIAL COMPLAINT

#### 3.1. What constitutes an official complaint:

Taking to consideration all the applicable legislations as well as the internal controls established by the Company, an official complaint shall be considered where ALL the following terms apply:

- 3.1.1. The person submitting the complaint can be defined as "Complainant",
- 3.1.2. The Complaint has been submitted through the appropriate means, defined by the Company in **Clause 3.2.** below,
- 3.1.3. The person submitting the Complaint is not a client of another entity for which the Company has no legal or regulatory responsibility, and your complaint is related to and/or based on the activities of the other entity.

#### 3.2. Procedure for submitting an official complaint:

If you wish to proceed and submit an official complaint, then the following steps should be followed:

- 3.2.1. Complete in full the "Complaint Form" as it can be found further below in these Procedures,
- 3.2.2. Submit the relevant Complaint Form along with supporting documentation to the Company, via any of the following means:
  - (a) Email at [complaints@fxglobe.eu](mailto:complaints@fxglobe.eu).
  - (b) Post to the office address of the Company, located at: 2 Louki Akrita Street, Limassol, 3030, Cyprus.

When the Company receives a complaint in a way other than those disclosed in **Clause 3.2.** above, has the right not to consider it as official and thus shall respond *where possible*, providing an update on the case described by the client without further action.

You are encouraged to use the **Complaints Form** located further below in these procedures only.

#### 3.3. Acknowledging your complaint

Upon receipt of your complaint (as per the procedure described in **Clause 3.2.**), we will provide you in writing (i.e. through email) with acknowledgement of its receipt within five (5) business



days from the date of receipt of your complaint.

Furthermore, the complaint will be registered in the Company's "internal Complaints registry" under a unique reference number, as required by the regulatory requirements. The said unique reference number will be comprised of ten (10) digits; made up of: Company's TRS code (2 digits), the year (4 digits) and the complaint number for the year (4 digits). This 10-digit unique reference number will be communicated to the complainant, who shall be using it in any future contact with the Company, the CySEC and/or the Financial Ombudsman.

#### **4. HANDLING OF COMPLAINT**

All complaints, irrespective of their disputed amount, shall and will be reviewed by the Compliance function of the Company along with the Company's CEO.

Once we acknowledge the receipt of your complaint, we will initiate its review/investigation immediately and will try to resolve it without undue delay. The investigation will be based on the information submitted by you along with the complaints form and the events occurred to reach to the complaint, as well as your transactions, trading and financing activities performed for the time being as a Company's client.

In case you will not be responsive and/or you are reluctant to provide the necessary information/clarification to enable the Company to properly perform its investigation regarding your query and/or complaint within a period of 30 calendar days from the initial response to your query and/or complaint, the Company reserves the right to consider the query and/or complaint as closed and resolved. This will mean that you will be requested to resubmit your query and/or complaint if the 30 calendar days lapse.

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 we will keep you updated on the handling process of your complaint. One of our officers may contact you directly (including communication by email or phone) to obtain further clarifications and information relating to your complaint. We will require your full cooperation to expedite the investigation and possible resolution of your complaint.

Where a complaint cannot be resolved within the timeframe of two (2) months', the Company will provide the Complainant in writing or in any other durable medium, a notification outlining the reason for 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 the completion of a three (3) months period from the date of submitting your complaint.

#### **5. FINAL DECISION**

Once the investigation is completed, the Company will inform the complainant in writing on the outcome together with a detailed explanation of its position along with any remedy measures the



Company will intend to take (if and where applicable).

## 5.1. Contact Details of the Financial Ombudsman of the Republic of Cyprus:

You may also proceed and contact the Financial Ombudsman of the Republic of Cyprus, if:

- (a) the Company will not be able to provide you with a final response within the three (3) month time-period specified above,
- (b) In case you are not satisfied with the Company's final outcome and remedy measure provided – you must ensure that the contact will be made no later than four (4) months after the date when we have provided you with our final decision.

The contact details can be found further below for your convenience:

Website: <http://www.financialombudsman.gov.cy>  
Email: [complaints@financialombudsman.gov.cy](mailto:complaints@financialombudsman.gov.cy)  
Postal Address: P.O. BOX: 25735, 1311 Nicosia, Cyprus  
Telephone: +35722848900 / Fax: +35722660584 / +35722660118

## 5.2. Contact Details of the Cyprus Securities and Exchange Commission:

Website: <http://www.cysec.gov.cy>  
Email: [info@cysec.gov.cy](mailto:info@cysec.gov.cy)  
Postal Address: P.O. BOX 24996, 1306 Nicosia, Cyprus  
Telephone: +35722506600  
Fax: +35722506700

Please note that the Cyprus Securities and Exchange Commission does not have restitution powers and therefore does not investigate individual complaints.

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



## 6. RECORD KEEPING

The Company shall maintain the information in its Internal Complaints Register for a minimum period of five (5) years including detailed description of complaint and all relevant documents along with all measures taken in resolving them, as per its internal procedures and controls.

It is the responsibility of the Company's Compliance Function for registering all complaints in the Internal Complaints Register and recording their status and outcomes. The following information should be recorded therein:

- the identity of the complainant (name and surname of the client)
- internal account number (given to the Client over account opening)
- the Company's employee to whom the complaint was made.
- the Company's employee responsible for that client relationship and his department
- the date on which the complaint was received and filed.
- a summary of the complaint
- the value of the complainant's portfolio
- the approximate value of any loss which the complainant claims to have suffered.
- the date and a summary of the Company's reply to the complaint
- a note of any other relevant correspondence with the complainant, which should be kept in the appropriate client file.



## COMPLAINTS FORM

This is the official form you need to fill in if you wish to submit an official complaint to the **Company**. 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.

Date of submitting this Complaint form:	
<b>CLIENT INFORMATION</b>	
Full Name:	
Legal Entity Name ( <i>in case the Client is a legal person</i> ):	
Trading Account(s) Number:	
ID or Passport Number:	
Nationality:	
Country of Residence:	
Postal Address / City / Country:	
Phone Number:	
Email address: ( <i>ensure is the same with the one used on registration</i> )	
<b>REPRESENTATIVE INFORMATION:</b>	
FXGL' Representative Full Name:	
<b>INFORMATION ABOUT THE COMPLAINT:</b>	
<i>Please provide a Summary of your complaint below.</i>	
<i>We kindly request to justify the disputed amount and to <u>include any information</u> that will facilitate the Company in the investigation of your complaint. (e.g., screenshots of the platform, or the CRM profile and financial transactions).</i>	
When did the incident you are complaining was occurred?	
Did you also contact any authority	





<i>regarding this matter? If yes, please indicate the name of the authority and its country</i>	
<input type="checkbox"/> I hereby certify and confirm that to the best of my knowledge, the information furnished above is true, accurate, correct, and complete.	
<b>Full Name:</b>	<b>Signature:</b>
<hr/>	<hr/>

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**FOR OFFICIAL USE ONLY**

<b>Received by:</b>		<b>Received on:</b>	
<b>Assigned to:</b>		<b>To reply by:</b>	
<b>Full Name:</b>	<b>Signature:</b>		
<hr/>	<hr/>		

