



PRICE MARKETS UK LTD

COMPLAINTS MANAGEMENT POLICY AND HANDLING PROCEDURE

GENERAL

Price Markets UK LTD, hereinafter referred to as the 'Company' or 'Price Markets', maintains effective and transparent procedures for the reasonable and prompt handling of complaints received from Complainants and keeps records of each complaint as well as the actions that were taken to remedy any situation.

We appreciate that sometimes things can go wrong and as such we ask you to get in touch with our Trading Desk on +44 20 3290 0088, or email trading@pricemarkets.com as the vast majority of the complaints cannot be resolved at this level.

If the Trading Desk cannot resolve the issue, they will refer you to the Compliance Department, in which case the following will apply.

1. DEFINITIONS

A complaint is a statement of dissatisfaction address to the Company by a natural person or legal entity, relating to the provision of any investment service provided by the Company.

As per the FCA definition of a complaint, whether justified or not, the dissatisfaction could be regarding the provision of, or the failure to provide, a financial service, or a redress determination, which:

- (a) Alleges that the complainant has suffered (or may suffer) a financial loss, material distress or material inconvenience; and
- (b) Relates to an activity of that respondent, or any other respondent with whom that respondent has some connection in marketing or providing financial services which comes under the jurisdiction of the Financial Ombudsman Service.

A complainant is any natural person or legal entity who is an active client of the Company and is presumed eligible to launch a complaint and who has already launched a complaint.

Complaints must be directed by the complainant to the Company's Compliance Department by filling out the relevant form found in Appendix 1 of this document through the email compliance@pricemarkets.com.

Anything received by the company through other methods will not be regarded as a complaint and instead an enquiry. Any complaint that is not viewed as such by the company will also be considered as an enquiry and is up to the Company's reasonable discretion to classify it as such.

2. PROCEDURE

The Compliance department will follow the procedure below:

- 1) Once the complainant files the complaint through the appropriate forms and methods mentioned above, a receipt will be sent to acknowledge the receipt of the complaint and is currently being worked on a resolution. A reference number should be given to the complainant for the complaint as to be used for future reference.
- 2) Upon examination of the complaint, a decision will be made in respect to the information at hand and shall reply to the complainant with what, if any, remedial actions will be taken. If at the time remedial actions cannot be taken, the Company will try to seek further clarifications and provide a reasoning behind the Company's decision (if applicable).
- 3) The Company shall keep a record and document all the following information:
 - a. The identity of the complainant (Name and Account Number)
 - b. The date of receipt of the complaint/enquiry
 - c. The subject and full description of the complaint/enquiry
 - d. The remedial action taken and/or further clarifications requested (if applicable)

We will aim to resolve the issue within five (5) business days from starting from the next business day of the receipt of the complaint.

In for any reason we are unable to resolve the complaint within this time frame, we will thoroughly investigate the matter further and within eight (8) weeks of receipt will send a final letter of response with which will either:

- (1) Accept the complaint and where appropriate provide redress or remedial action; or
- (2) Not accept the complaint but provide redress or remedial action; or
- (3) Reject the complaint and give the reasons why; or
- (4) Explain why it may not be possible to make a final response and give an indication when we will be able to provide one.

If for any reason who have taken the full eight (8) weeks, we will be providing you with an indication on where we stand and the timeframe that we need to complete the investigation. We will also be providing you with full details on how you can refer your complaint to the Financial Ombudsman Service if you are dissatisfied with our response.

3. RECORD KEEPING

All complaints will be held in record by the Compliance Department for a period of at least five (5) years starting from the date in which the complaint was executed and/or from the date that the Client relationship came to an end.

4. FINANCIAL OMBUDSMAN SERVICE

The complainant has the right to refer the matter to the Financial Ombudsman Service (FOS) if they believe that their complaint was not resolved satisfactorily by the Compliance department. The Financial Ombudsman Service is an independent organisation that was established to resolve disputes between financial institutions and their customers.

The FOS may be contacted at:

Exchange Tower, Harbour Exchange Square, London, E14 9SR or via their website <https://www.financial-ombudsman.org.uk/>

Any reference to FOS should take place within six (6) months of the Compliance department's final response letter, and also not that FOS will not consider any complaints that were not firstly addressed by the Company.

5. APPENDIX 1 - COMPLAINT FORM

Please Copy paste the bellow, complete and then email it to us to the above email address.

<p><u>Name:</u></p> <p><u>Surname:</u></p> <p><u>Email:</u></p> <p><u>Account Number:</u></p> <p><u>Date/Time of the Dispute/Rise of Complaint</u></p> <p><u>Contested Positions and or Pending Orders (if applicable):</u></p>
<p><u>Description of the situation that brought rise to the Complaint:</u></p>
<p>How do you feel the complaint should be settled?</p>
<p>Any further information that you think we should know (if you are referring to clauses from our Agreements, please be specific on the clause number and the Agreement you are referring to):</p>

Please also include any screenshots or clear pictures (pictures that are not clearly visible will not be taken into account) that you feel will further support your claim/request.