

COMPLAINTS HANDLING POLICY

Version 1.3

Octa Markets Cyprus Limited

COMPLAINTS PROCEDURE

Octa Markets Cyprus Ltd (the 'Company'), has established this Complaints Procedure in order to serve the best interests of our Clients, in a fair, transparent and fast manner, in the case where complaints arise during the lifetime of the business relationship. The below-mentioned procedure indicates how the Company will handle in an effective way, any Complaints submitted by our Clients.

The sequence of the Complaints Procedure is as follows:

1. Submission of a Complaint on behalf of our Client

The Client of Octa Markets Cyprus Ltd may submit a complaint in writing and address it to the Complaints Management Function of the Company who undertakes the responsibility to administer and investigate the complaints that may be submitted from our Clients.

For the purpose of filing a complaint to the Company, please complete the Complaints Form attached hereinafter and submit it in any of the following ways:

- a. Sending via registered post the attached Complaints Form at the following registered address:

1, Ayias Zonis & Thessalonikis Corner, Nicolaou Pentadromos Center, Block: B, Office: 201, 3026, Limassol, Cyprus.

- b. Email submission to the following email address: Complaints@octafx.eu

2. Acknowledgement of receipt of the Complaint

Octa Markets Cyprus Ltd is obliged to acknowledge receipt of your complaint ***within five (5) days*** from the receipt of your complaint.

3. Internal evaluation and handling of the Complaint

We will review the Complaint in depth and try to resolve it without any undue delay, once we acknowledge receipt. The responsible officer may contact you directly, either by email or telephone, in order to kindly request further information and/or clarifications relevant to your complaint.

The assigned officers will kindly request your cooperation all through the lifecycle of the complaint until its final resolution.

Octa Markets Cyprus Ltd, commits itself to take all actions deemed necessary to investigate and try to derive an outcome to your Complaint, ***within the period of two (2) months*** from the date of receipt of your Complaint.

In the event that your complaint requires more in-depth investigation and we cannot derive an outcome ***within the period of two (2) months*** from the date of receipt of your Complaint, we have the obligation to issue a holding response in writing or any other durable medium. The holding response sent to you shall clearly indicate the causes of the delay and when the investigation will likely be completed. The Company, shall provide you with the outcome of our investigation the soonest possible, but ***no later than three (3)***

months from the date of receipt of your Complaint. The delivery of the outcome of the investigation depends on the complexity of the case and the level of your co-operation.

If further information is requested from your side in order to investigate your Complaint, then the Complaint will be in hold until we receive the requested information. As soon as we receive the requested information the Complaint will stop being in hold and the time of response will be reactivated.

In case where you do not provide the requested information, the responsible officer will contact you once more directly, either by email or telephone, in order to kindly request further information and/or clarifications relevant to your complaint. If the requested information is not provided following the second contact, the Complaint will be closed

We shall record and file your Complaint with a unique reference number. This reference number can be used by you during the between us communication or in the case of contacting other authorities (please, see **Point 4 below**).

4. Final Outcome of our Investigation

When we reach the final outcome of our decision, we will inform you without any delay. We shall also provide you with an explanation of our position on the given Complaint. Further, we shall proceed to propose corrective actions and remedial measures to be taken, if applicable and necessary.

In the event where you are not satisfied with the final outcome of our investigation, you have the right to reserve and maintain your Complaint and directly contact **within twelve (12) months** after we have provided you with the Final Outcome of our Investigation, the following authorities:

a. The Cyprus Securities and Exchange Commission:

<http://www.cysec.gov.cy>

and,

b. The Financial Ombudsman Service of the Republic of Cyprus:

<http://www.financialombudsman.gov.cy>

In the unlikely event that the Company was unable to provide you with a final response **within the three (3) months' time period specified above** you may again contact the office of the Financial Ombudsman of the Republic of Cyprus **no later than twelve (12) months** after the date when we ought to have provided you with our final decision.

You may maintain your complaint with the Cyprus Securities and Exchange Commission, however, 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 complaints procedures referred to above.

COMPLAINTS FORM

Date of Submission:

Reference Number:

a. **Client Information:**

Name:

Surname:

Account Number:

a. **Contact Details of the Client:**

Postal Address:

City:

Country:

Telephone Number:

Email address:

b. **Complaint details:**

Complaint Type (Please, select one of the following: Trading, Deposits, Withdrawals, Customer Support, Compliance, Legal, Other):

Date when the actual Complaint incurred:

Date and Time of the Trading Platform (as per the Log Files or screenshot) (if applicable):

Ticket Number of trade positions under dispute and/or Pending Orders (if applicable):

Financial Instrument/s involved (if applicable):

Dispute amount (if applicable):

Employee / Department who offered the services to the Client:

Description of the Compliant:

FOR OFFICIAL USE ONLY

Received on:

Received by:

Resolution assigned to:

Deadline for reply: