



Complaints Handling Procedure

Complaint Handling Procedure

Introduction

AUSPRIME is the tradename of AC Markets (Europe) Limited (ex Ltrader Limited) (hereinafter “the Company”, “We”, “Our”, “Us”), which is registered with the Register of Companies and Official Receiver in Cyprus under registration number HE 348274 as a Cyprus Investment Firm (CIF) and licensed by the Cyprus Securities and Exchange Commission (CySEC) under license number 350/17 in accordance with the Markets in Financial Instruments Directive (MiFID II).

The Company operates under the Provision of Investment Services, the Exercise of Investment Activities, the Operation of Regulated Markets and Other Related Matters Law of 2017, Law 87 (I)/2017, as amended from time to time.

Objective

If you are dissatisfied with our services, or if you have a query regarding your account or activity with us, you may contact the support department via Email or telephone. The Company is committed to promptly and efficiently handle all client’s complaints or grievances. Therefore, minimize the potential risk of damage to the company’s reputation and reduce the risk of litigation by handing complaints from our customers or prospects in a timely, effective and consistent manner.

The purpose of this complain handling policy is to recognize and protect customer’s right, including the right to comment and complain; second, provide an efficient, fair and accessible mechanism for resolving customer’s complains; Third, provide information to customers on the complaints handling process.

Official Complaints

The Compliance Officer of the Company is designated as responsible for the application of this policy, and to review this policy on a regular basis to ensure that it continue to comply with industry laws, regulations, guidelines and best practices. The Compliance Officer of the firm is also responsible to communicate this firm’s policy to all employees, officers, directors, representatives and advisors of the firm.

A complainant shall complete the Complaint Form developed by the Company (available on Appendix 1 of this Policy). Once completed, it should be sent by e-mail to compliance@ausprime.eu to the compliance department.

Complaints communicated to the compliance department must be received from the registered email of the client or the client's appointed representatives as soon as possible after the subject matter of the complaint arose.

Procedure to be followed when a formal complaint or grievance is received

The complaint shall not include offensive language directed either to the Company or an employee. The Customer support has the right to contact directly the complainant for further clarifications in relation to the complaint.

The Company will investigate the complaint and a response to the complainant will be send within two (2) months. In the event the Company is unable to response within the time period mentioned above, the Complainant will be notified accordingly. In any case the period cannot exceed three (3) months from the date of submission of the complaint.

In its final decision, the Company will provide the Complainant with the results along with a brief explanation of the reasons that lead to the decision.

In the event the complainant is not satisfied he or she has the right to refer it to the Financial Ombudsman. The Financial Ombudsman is an independent service for resolving disputes between CIF's and their clients. Information regarding this can be found below:

Address: 13 Lord Byron Avenue, 1096 NICOSIA

Telephone: 22848900

Fax: 22660584, 22660118

E-mail:

- Complaints: complaints@financialombudsman.gov.cy
- Financial Ombudsman: fin.ombudsman@financialombudsman.gov.cy
- Website: www.financialombudsman.gov.cy

In the event the complainant is not satisfied the last option is to refer the complaint to the Court in the Republic of Cyprus.

Record-keeping of complaints or grievances received

The Company shall maintain all complaints or grievances for a minimum period of five years. Records of all complaints will be retained in our complaints log Systems, for confidentially, monitoring and evaluation purpose. Access to the complaints records will be restricted to authorized staff only.

Appendices: Complaint Form

No. of the Form	
Client's Name	
Account ID	
Address	
Email	
Description	
Date:	Signature:

Internal Use Only:

Employee handling the complaint	
Position	
Date of Receipt:	Date of Response:
Result and Date of Final Resolution	