

FINTANA TRADING LTD
(the “Company”)

COMPLAINTS PROCEDURE FOR
CLIENTS

FINTANA TRADING LTD – COMPLAINTS PROCEDURE FOR CLIENTS

Fintana Trading Ltd, (hereinafter, the “Company”), is duly incorporated under the laws of the Republic of Mauritius and bears Company registration number 197666 GBC. The Company is duly licensed by the Financial Services Commission of Mauritius and hold an Investment Dealer (Full Service Dealer, excluding Underwriting) license with license number GB23201338 . The Company has adopted this Complaints Procedure in order to ensure a fair and quick process for handling complaints that may arise from our relationship.

1. Submitting a Complaint

In order to submit a complaint to the Company, you are kindly requested to direct your complaint at complaints@fintana.com.

Once you successfully submit your complaint, the Company shall handle and investigate your complaint.

2. Acknowledging your Complaint

We will acknowledge receipt of your complaint within five (5) business days from the receipt of your complaint.

3. Handling of your Complaint

Once we acknowledge receipt of your complaint we will review it carefully, investigate the circumstances surrounding your complaint and will try to resolve it without undue delay. We shall make every effort to investigate your complaint and provide you with the outcome of our investigation within six (6) weeks from the date you have submitted your complaint to us. During the investigation process we will keep you updated of the handling process of your complaint. One of our officers may contact you directly (including communication by email or phone) in order to obtain, where needed, further clarifications and information relating to your complaint. We will require your full cooperation in order to expedite the investigation and possible resolution of your complaint.

In the event that your complaint requires further investigation and we cannot resolve it within six (6) weeks, one of our officers will contact you again directly (including communication by email or phone) indicating the causes of 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 one (1) month from the date the Company informed you about the causes of the delay, depending on the complexity of the case and your cooperation.

Please note that the Company shall consider your complaint as closed and cease the relevant investigation in case you fail to respond to our officers within the period of six (6) weeks from the date of the submission of your complaint.

4. Final Decision

When we reach an outcome, we will inform you of it together with an explanation of our position and any remedy measures we intend to take (if applicable). It is understood that your right to take legal action remains unaffected by the existence or use of any complaints procedures referred to above.