

## **1. Introduction**

**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.

## **2. Scope and Purpose**

The Company is required to establish, implement and maintain effective and transparent procedures for the reasonable and prompt handling of complaints or grievances received from complainants and keep records of each complaint as well as any actions taken by the Company to remedy the situation. This Policy sets out the method for the submission of complaints with the Company from its Clients and the processes followed by the Company’s personnel when dealing with such complaints.

## **3. Definitions**

“**Complaint**” is defined as a statement or an expression of dissatisfaction addressed to the Company by a client (natural or legal person) regarding the provision of investment and/or ancillary services provided by the Company to the client.

“**Complainant**” is defined as any person, natural or legal, who has read, agreed with and accepted all the terms and conditions contained in the Client Agreement (without modifications), has opened a trading account with the Company and has lodged a complaint.

## **4. Submitting a Complaint**

The Company considers having received a complaint when the complainant has filled out the relevant Complaint Form and submitted to the Company via the following methods:

1. Through the Company’s complaints form found on the Company’s website; or
2. Through the Company’s dedicated complaints email at [complaints@fintana.com](mailto:complaints@fintana.com) recording the following information:
  - a) your personal details such Full Name, Telephone Number, Trading Account Number
  - b) nature and description of your complaint
  - c) date of the event that took place
  - d) if you communicated with any third-party the issue (if yes, include date, name of person and outcome)

and including all the necessary information and/or documentation for an efficient investigation as efficiently as possible.

The Company reserves the right to decline and communication received outside the predefined method of communication as referenced above or in case the Company receives a notification through the line of

communication established by the Company to receive complaints, but which does not fall within the definition of “complaint” above and can be characterized as an enquiry, this shall be categorized as an enquiry rather than as a complaint.

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

#### **5. Acknowledging your Complaint**

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

#### **6. 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 thirty (30) days 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) to obtain, where needed, further clarifications and information relating to your complaint. We will require your full cooperation 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 thirty (30) days, 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.

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.

#### **7. Settlement and Disputes**

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).

In the case where no amicable and mutual agreement is reached out between the Company and the Complainant, any disputes shall be settled under Arbitration Rules of the Mediation Centre of Mauritius Chamber of Commerce and Industry (MARC).

In case the complaint is rejected by MARC, the Complainant may lodge an appeal at the Financial Services Commission of Mauritius (FSC).