

## EC Markets Group Ltd Complaints Handling Procedure

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EC Markets Group Ltd, trading under the name “EC Markets”, is a UK Investment Firm (registered number 07601714), regulated by the Financial Conduct Authority (“FCA”) under license number 571881 (hereinafter the “Company or” we”, “us” and “our”, as appropriate). The Company’s registered address is at 45 King William Street, London, United Kingdom, EC4R 9AN.

EC Markets Group Ltd is committed to:

- providing a high standard of client service; and
- maintaining our reputation for integrity and accountability.

We welcome feedback on our service at any time. If you are dissatisfied with our services, please give us the opportunity to fix the problem. We will investigate, answer your questions and work hard so you enjoy trading with EC Markets Group Ltd.

EC Markets complaints handling procedures seek to ensure complaints are reviewed independently and result in fair resolutions to customer complaints.

### What is a complaint?

EC Markets define a complaint as: “Any oral or written expression of dissatisfaction, whether justified or not, from, or on behalf of, a person about the provision of, or failure to provide, a financial service or a redress determination which alleges that the complainant has suffered (or may suffer) financial loss, material distress or material inconvenience.”

### How to make a complaint?

Any member of EC Markets staff can receive a customer complaint and has the responsibility to do everything within their authority to resolve the issue at the first point of contact. Where a member of staff feels they lack the experience, expertise or authority to settle the matter immediately, they may refer the matter to their supervisor.

You can contact our Client Services Team through any of the contact details below:

Client Services:

EC Markets Group Ltd,  
New Broad Street House,  
35 New Broad Street,  
London, United Kingdom,  
EC2M 1NH.  
Email: [support@ecmarkets.co.uk](mailto:support@ecmarkets.co.uk)  
Phone: +44 207 6217 978

We may ask you to provide details to us in writing. This includes, specifying the nature of the complaint, providing us with specific details and the desired outcome or action you wish EC Markets to take to settle the complaint to your satisfaction. We may ask you to provide relevant material to support the complaint; doing this will help us respond quickly.

A written complaint shall include the following details:

- Client full name;
- Client account number;
- Date and time of the incident; and
- A description of the incident/complaint

### How we deal with a complaint

1. We will acknowledge your complaint within 48 hours of receipt.
2. We will thoroughly investigate the complaint using all relevant information available to us.
3. In the first instance, the complaint will be handled by one of our representatives in the Client Services Team, however if you are unhappy with their initial response, then the matter will be referred to a senior member in the Compliance Department.
4. A further investigation will be conducted by the Compliance Department and following on from this you will be issued with our Final Response letter outlining the findings and our decision.
5. We will aim to correct any mistakes on our part, and let you know of the outcome of our investigation.
6. We aim to resolve all complaints as quickly and efficiently as possible, however please note that the statutory timescales for providing you with a Final Response is within 8 weeks of receipt of your complaint.

Questions regarding our Complaints Handling Procedure should be addressed to our Head of Compliance – [compliance@ecmarkets.co.uk](mailto:compliance@ecmarkets.co.uk)

### Financial Ombudsman Service

1. We are committed to resolving complaints through our Complaints Handling Procedure, however if you remain dissatisfied following our Final Response letter, then you can refer the case to the Financial Ombudsman Service (FOS). This is an independent organisation set up to resolve disputes between consumers and financial institutions.
2. You can directly contact FOS at the following:

Financial Ombudsman Service (FOS)

Address: Exchange Tower,  
London, E14 9SR  
United Kingdom

Phone: 0300 123 9 123 or 0800 023 4567 or from outside UK: +44 20 7964 0500

Website : <http://www.financial-ombudsman.org.uk/>,

Email : [complaint.info@financial-ombudsman.org.uk](mailto:complaint.info@financial-ombudsman.org.uk)

A copy of the Financial Ombudsman Services explanatory leaflet is available at the following URL:

<https://www.financial-ombudsman.org.uk/publications/ordering-leaflet>

If you wish to refer your complaint to the Financial Ombudsman, you must do so within 6 months of the date on the Final Response letter.

## Monitoring of Complaints

1. We are required by FCA to keep detailed records on individual complaints. Further to this and as per the FCA requirements, we maintain an internal register of complaints where all relevant information and progress of each complaint is kept.
2. We are required to submit information regarding the complaints we receive from our clients to FCA, twice a year.
3. We are required to report to the Senior Management, on at least an annual basis, on the complaints-handling reporting to FCA, as well as on the remedies undertaken or to be undertaken in relation to any deficiencies and/or weaknesses that may be identified.