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Complaints Procedure for Clients

Version 1.6

Last Updated – 07th November 2017



Complaints Procedure for Clients

GBE Brokers Ltd. (hereinafter, the “Company”) is a Cyprus Investment Firm (hereinafter “CIF”) authorized and regulated by the Cyprus Securities and Exchange Commission (“hereafter “CySEC”) with License number 240/14 has adopted this Complaints Procedure in order to ensure a fair and quick process for handling complaints that may arise from your business relationship with the Company. In case the Client does not fill in the complaints form (attached at the end of this procedure), his/ her request will be treated as an enquiry and processed as such.

1. Submission of a Complaint

The Client may submit the complaint in writing and addressed to the Back Office or Compliance Department of the Company, which is authorized to handle and investigate complaints that may be submitted to the aforementioned departments from the Company’s Clients.

You are encouraged to use the Complaints Form attached herein and submit it in any of the following ways:

(a) By sending by post or delivering in person the attached Complaints Form at the following address: Loucaides Building, 4th Floor, Office 41, Corner of Ayiou Andreou and Arch. Kyprianou Street, 3036 Limassol, Cyprus

(b) By submitting the Complaints Form electronically at the following email address:

compliance@gbebrokers.com

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(c) By Facsimile at +357 25 01 41 23

2. Acknowledging receipt of the Complaint

The Company will acknowledge receipt of the complaint within five (5) business days from the receipt of the complaint and provide to the Client the unique reference number of the complaint. The unique reference number should be used in all your future contact with the Company, the Financial Ombudsman and/or CySEC regarding the specific complaint.

Handling of the Complaint

Once the Company acknowledges receipt of Client's complaint, the Company will review it carefully, investigate the circumstances surrounding the complaint and will try to resolve it without undue delay.

The Company shall make every effort to investigate your complaint and provide you with the outcome of the Company's investigation within two (2) months from the date the Client submitted the Complaint. During the investigation process the Company will keep the Client updated of the handling process of his/her complaint and if necessary the Company will request further information in order to facilitate the resolution of the complaint. One of our officers may contact you directly (including

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communication by email or phone) in order to obtain further clarifications (where needed) and information relating to your complaint. Please note that the Company shall consider your complaint as closed and cease the relevant investigation in case you fail to respond to the Company within the period of three(3) months from the date of the submission of your complaint. The Company will require the Client's full cooperation in order to expedite the investigation and possible resolution of the complaint

In the event that your complaint requires further investigation and we cannot resolve it within two (2) months, we will issue a holding response in writing or other durable medium. When a holding response is sent, it will indicate 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 issuing of the holding response, depending on the complexity of the case and your cooperation.

Final Decision

When we reach an outcome we will inform of it together with an explanation of our position and any remedy measures we intend to take (if applicable).

In case you are not satisfied with the Company's final decision you may enquiry with the office of the Financial Ombudsman of the Republic of Cyprus and seek mediation for a possible compensation. It is important that you contact the Financial Ombudsman of the Republic of Cyprus within four (4) months of receiving a final response from the Company otherwise the Financial Ombudsman of the Republic of Cyprus may not be able to deal with your complaint.

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In the unlikely event that the Company was unable to provide you with a final response within the three (3) month time period specified above you may again contact the office of the Financial Ombudsman of the Republic of Cyprus no later than four (4) months after the date when the Company ought to have provided you with the final decision.

A. Contact Details of the Financial Ombudsman of the Republic of Cyprus:

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

Email: complaints@financialombudsman.gov.cy

Postal Address: P.O. BOX: 25735, 1311 Nicosia, Cyprus

Telephone: +35722848900

Fax: +35722660584, +35722660118

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B. Contact Details of the Cyprus Securities and Exchange Commission:

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

General email: info@cysec.gov.cy

Postal Address: P.O. BOX 24996, 1306 Nicosia, Cyprus

Telephone: +35722506600

Fax: +35722506700

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.

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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

This is the form you need to fill in if you wish to submit your complaint to GBE brokers Ltd. (the “Company”). Complete, up-to-date as well as accurate information is required to be provided to the Company for the proper investigation and evaluation of your complaint.

Please note that the below Complaint Form is only indicative and not exhaustive. The Company may request further information and/or clarifications and/or evidence as regards your complaint.

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COMPLAINT FORM	
Date	
CLIENT INFORMATION	
Name	
Last Name	
ID or Passport Number:	
Country of nationality:	
Legal Entity Name (in case the Client is a legal person):	
Account Trading Number:	
CONTACT DETAILS OF THE CLIENT	
Postal Address:	
City/Province:	
Postal Code:	
Country:	
Telephone Number:	
Email:	

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INFORMATION ABOUT THE COMPLAINT	
Date when the Complaint was created:	
Employee who offered the services to the Client (if applicable):	
Description of the Complaint: (use a separate sheet if necessary)	
I hereby confirm and certify to the best of my knowledge that the information given above is true, accurate and complete.	Signature: <input type="text"/>

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I hereby certify and confirm that to the best of my knowledge, the information furnished above is true, accurate, correct and complete.

FOR OFFICIAL USE ONLY

Received on:

Received by:

Assigned to:

To reply by:

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