

# Colmex Pro Limited

**COMPLAINTS HANDLING PROCEDURE  
September 2019**

***Applicable as of: 2 September 2019***

**Colmex Pro Ltd is a Cyprus Investment Firm (CIF) licensed by the Cyprus Securities and Exchange Commission (CySEC) under license number 123/10.**

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## Scope

Following the implementation of the Directive 2014/65/EU of the European Parliament and of the Council of 14 May 2014 on Markets in Financial Instruments ('MiFID II') and the Investment Services and Activities and Regulated Markets Law of 2017 (Law 87(I)/2017), and in accordance with the Commission Delegated Regulation (EU) 2017/595 ('MiFID II Delegated Regulation'), the Company is required to provide its clients and potential clients with a Complaints Handling Procedure ('the Procedure')

Under the above legislation, the Company is required to establish, implement and maintain effective and transparent complaints management policies and procedures for the prompt handling of clients' or potential clients' complaints. The Company is committed to act honestly, fairly and professionally and in the best interests of its clients, and to comply with the principles set out in the above legislation when providing any investment and ancillary services.

With this Procedure we hereby provide you with the details of the process to be followed when handling a complaint.

The operational procedures for the handling of complaints received by the Company are outlined in the Complaints Management Policy ('the Policy') of the Company. The Policy gathers all measures taken by the Company for the prompt handling of clients' or potential clients' complaints.

This Policy is not intended to, and does not create third party rights or duties that would not already exist if the Policy had not been made available.

## Definition

2.1 A complaint is an expression of dissatisfaction by a client regarding the provision of investment and/or ancillary services provided by Colmex Pro Ltd ('the Company').

2.2 A complaint must be written in English and include the following information:

- The client's full name
- The client's trading account number
- The affected transaction(s) number (if applicable)
- Date and time that the issue causing the complaint arose
- A full and clear description of the issue causing the complaint/content of the complaint
- Reference to any correspondence exchanged between the Company and the client (such correspondence should be attached)

2.3 The Company may at its discretion refuse to handle a complaint if any of the requirements contained in subparagraph 2.2 above is not fulfilled.

## Procedure

3.1 All complaints must be in writing and firstly addressed to the Customer Support Department ([support@colmexpro.com](mailto:support@colmexpro.com)). The Customer Support Department shall resolve the complaint as soon as reasonably practicable and inform the client of the outcome/conclusion. In cases that it deems necessary, the Customer Support can transfer the complaint to the Compliance Department.

3.2 In addition, If the client receives a response from the Customer Support Department but considers that the complaint needs to be raised further, the client may ask the Customer Support Department to provide him with the Client Complaint Form that should be filled in and submitted by the client to the Compliance Department ([compliance@colmexpro.com](mailto:compliance@colmexpro.com)) which will independently and impartially investigate the complaint. Within 5 business days after submitting the relevant form, the client will receive an email of acknowledgment as a receipt of the submitted form and he/she will

be provided with a unique reference number (code) that should be used in all future correspondence with the Compliance Department, and/or the Financial Ombudsman and/or CySEC.

3.3 The Customer Support Department and/or the Compliance Department shall thoroughly examine complaints taking into account all available relevant information including but not limited to the information contained in the books and records of the Company and the client's trading account journal and reach a fair and reasonable outcome.

3.3 The Compliance Department shall:

- a. send an initial response to the client as soon as the examination of the complaint is concluded and no later than within 2 months from the date that the complaint form was received.
- b. In cases that further investigation is required and therefore the Company is unable to respond to the complaint within the timeframe of two months, the Company shall inform the client of the reasons for the postponement and the expected timeframe to complete the investigation and respond.

3.4. All complaints will be treated with confidentiality.

## Relevant contacts

- Customer Support Department email: [support@colmexpro.com](mailto:support@colmexpro.com)
- Compliance Department email: [compliance@colmexpro.com](mailto:compliance@colmexpro.com)

## Client's dissatisfaction

In cases where a client is dissatisfied with the Company's approach and final response, the client can either request from the Company to review the case again or directly he/she can address the issue to the **Financial Ombudsman Service** or to the **Cyprus Securities and Exchange Commission (CySEC)**.

For the Financial Ombudsman Service, please be referred to the information below:

If you are an individual, or a legal entity, trust or charitable entity that can be categorized as a consumer under the legislation governing the creation and operation of an Alternative Dispute Resolution framework in Cyprus (Financial Ombudsman), you are entitled to escalate the complaint to the Financial Ombudsman if the solution or action taken / provided by the Company is not to your satisfaction or if the Company does not respond at all.

A complaint to the Financial Ombudsman should be filed within 3 months from the receipt of the response from the Company.

The Financial Ombudsman can be contacted as follows:

Address: 13 Lord Byron Avenue, 1096 NICOSIA
Phone: 22848900 (main number)
Facsimile (Fax): 22660584, 22660118
E-mail Complaints: <a href="mailto:complaints@financialombudsman.gov.cy">complaints@financialombudsman.gov.cy</a>
Financial Ombudsman: <a href="mailto:fin.ombudsman@financialombudsman.gov.cy">fin.ombudsman@financialombudsman.gov.cy</a>

The complaint form shall be accompanied by the evidence of the paid fee (€20). The payment can be done at any of the following banks:

(a) Cooperative Central Bank (Συνεργατική Κεντρική Τράπεζα) or Cooperative Institution, IBAN: CY16 0070 1010 0000 0000 4002 8214  
(β) Hellenic Bank (Ελληνική Τράπεζα) IBAN: CY78 0050 0109 0001 0901 7087 6401  
(γ) Bank of Cyprus (Τράπεζα Κύπρου) IBAN: CY52 0020 0195 0000 3570 1944 4789  
For more information, please visit the website [www.financialombudsman.gov.cy](http://www.financialombudsman.gov.cy)