



*COMPLAINTS HANDLING PROCEDURE*

CMS PRIME



The Complaints Handling Procedure sets out the processes employed when dealing with complaints received by clients .

a. Definition of a Complaint

A complaint is an expression of dissatisfaction by a client regarding the provision of investment and/ or services provided by CMS Prime .

b. A complaint shall include :

The client's name and surname ;

The client's trading account number ;

The affected transaction numbers, if applicable; The date and time that the issue arose; and A description of the issue .

c. A complaint must not include :

Offensive language directed either to CMS Prime or a CMS Prime employee .

d. Complaint handling Procedure :

All complaints must be in writing and shall be addressed, in the first instance, to the Customer Support Department. If the client receives a response from the Customer Support Department but deems that the complaint needs to be raised further the client may either ask the Customer Support Department to escalate it to the Compliance Department or directly contact the Compliance Department, which will independently and impartially investigate it .

Both the Customer Support Department and the Compliance Department shall thoroughly examine any complaints as required (taking into account any information contained within the books and records of the Firm, including but not limited to the client's trading account journal) and reach a fair outcome .

Both the Customer Support Department and the Compliance Department shall: (i) send an initial response to the client within three business days, (ii) resolve complaints as soon as reasonably practicable and (iii) inform the client accordingly .

CMS Prime. is obliged to handle and resolve all complaints and all complaints shall be treated confidentially .