



Dispute Resolution and Complaints Procedure

Version: 4.1
Date: November 2015

STO

AFX Markets Ltd

(FCA)

Dispute Resolution and Complaints Procedure

AFX Markets Ltd. welcomes feedback of any kind and recognizes that we will not get everything right all of the time. Should you have reason for concern, please do not hesitate to contact us. In assessing any concerns we will follow the FCA principles of Treating Customers Fairly and the Financial Ombudsman Services principle of doing what is right in the individual circumstances.

We will attempt to resolve your complaint by the following business day. If we are unable to do this or you remain dissatisfied, the details of your concern will be recorded (if raised by telephone) and passed to a compliance officer to be dealt with. If you are submitting your complaint by email, fax, letter or other form we ask you do so, on our complaints form.

This is designed to make sure we have all the information we require to log and investigate the complaint from an early stage. We will not refuse complaints raised without using the form, however, if insufficient information is provided we may not start our timeframes for responding causing delay.

Our details are as follows:

Post:

AFX Markets Ltd.
33 Sun Street, 2nd Floor
London
EC2M 2PY
UK

Email: complianceuk@stofs.com

Fax: +44 (0) 207 710 0002

Telephone: +44 (0) 207 710 0000

Website (Live Chat): www.stofs.com

Please note that if a complaint refers to the actions of a compliance officer the complaint will be dealt with by another appropriate person – for example their manager or a director should this be necessary.

The compliance officer will acknowledge your concern within forty-eight (48) hours confirming the name and contact details of the person handling your concern, together with details of our complaints handling procedure. We may at this stage look to confirm our understanding of your complaint, if required.

We aim to investigate concerns as promptly as possible, however, if we are unable to produce a final response within

four (4) weeks, we will write to explaining why we are not in a position to respond and will give an indication of when we hope to be in a position to respond. A final response must be provided within eight (8) weeks of the date the complaint was logged. We will treat all complaints as individual complaints and will look to ensure we understand your concerns before responding. If we request further information from you for the purposes of investigating the complaint we will treat the complaint timeframe as on hold. Once the information is received this will reactivate the time, you will not be required to wait a full eight (8) weeks again unless this is information that should have been provided to log the complaint, for example for joint account holders the signature of both clients.

If we request further information and do not receive this, we will contact once more for this information. If it is not received following the chase up, the complaint will be closed. If we are able to respond to any of the complaint without the information we may attempt to do so, but we do not guarantee this as we may feel it is inappropriate to respond to only part of the complaint.

AFX Markets Ltd. will inform you that you may refer the complaint with a copy of the final response within a period of 6 months to the Financial Ombudsman Service for further investigation, if deemed to be appropriate or where AFX Markets Ltd has failed to respond within eight (8) weeks of the complaint being logged.

AFX Markets Ltd. is a member of the Financial Ombudsman Service an alternative dispute resolution scheme. The scheme has rules to who can complain to it regarding the products we provide. Should you require further information its details are:

The Financial Ombudsman Service
South Quay Plaza
183 Marsh Wall
London
E14 9SR

Email: complaint.info@financial-ombudsman.org.uk

Telephone number: 0800 023 4567 or 0300 123 9 123

Fax: 020 7964 1001

Website: www.financial-ombudsman.org.uk

Appendix 1: Complaint Form

Name(s)(as on account):	
Account Number:	
Contact Details of each client:	
Date(s) of incident:	
Nature of complaint ¹ :	
Details of any financial loss including any evidence available including whether the loss is still accumulating.	
Details of any attempts made to mitigate (reduce/limit) this loss. If no attempt has been made, please outline why not?	
Details as to what you would like us to do to put things right.	
Signed and dated by client(s)*	

¹ Please provide as much detail as possible, including where available – dates, times, names of staff, numbers dialed, messages received or any information you consider relevant. If you refer to any documents or evidence that is not available to AFX Markets Ltd., please also provide copies of such information]

*Please note if the account is in joint names the complaint should be signed by both clients.

Signature 1:

Signature 2:

Date:

Date: