



**LEAD TRADE LTD**

leading with experience

## **LeadTrade LTD**

*CIF License No. 296/16*

# **Complaints Handling & Disputes Policy**

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Owner: Compliance  
Prepared by: Compliance  
Approved by: Board of Directors

# Complaints Handling and Disputes Policy

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**Introduction**

Leadtrade LTD (the “**Company**”) aims to provide all its customers/clients (the “**clients**”, the “**customer**”) with the highest standard of service. We recognize that customers may on occasions be dissatisfied with some part of our service. Such dissatisfaction will be assessed as to the origin and the intentions of the customer.

Leadtrade LTD is regulated by the Cyprus Securities & Exchange Commission (License No. 296/16) and is required to comply with all the regulations pertaining to its license. This includes the establishment of complaint-handling procedures for handling expressions of dissatisfaction received from customers.

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**Scope of the Policy**

The Complaints Handling and Disputes Policy sets out the processes followed when dealing with Complaints received by customers/clients.

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**Definition of a Complaint**

A Complaint is an expression of dissatisfaction by a client who may have defined it as a “dispute”, “trading query”, “problematic issue” regarding the provision of investment services provided by the Company and which has not been resolved by any officer of the Company within five (5) business days from the expression of dissatisfaction by a client. Upon the lapse of the said time period the complaint shall be registered as per the below procedure.

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Queries or disputes or problematic issues can be received via the phone, letter and email or by any other form of communication. You must tell us as soon as possible about any dispute. The sooner you inform us, the easier it will be to resolve the matter. In the first instance, we recommend that clients try to resolve disputes through the usual customer service channels at the Company.

You will be asked to provide full details of your issue such as:

- Account Queries and Disputes**
- 1) full Name and surname;
  - 2) trading Account Identification Number;
  - 3) the date and time of the disputed issue/trade; and
  - 4) a brief description of the issue.

The more information you can provide, the easier it will be for the Company to resolve the matter. The person to whom your query or dispute is directed will try to solve the problem as soon as possible but in any event within 5 business days.

If you are not satisfied with the proposed resolution, the matter can be referred to a Senior Manager at the Company. The Senior Manager will send you an email or letter acknowledging receipt of your complaint, within 5 business days.

This acknowledgement will identify the person who will be handling the complaint and explain the complaints handling process. The Company shall provide you with a unique reference number which you may use to communicate with the Company.

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The Company will act impartially and attempt to resolve the complaint within one week of the date of the acknowledgement letter. In any event the Company may take up to 2 months to resolve any cases that might require in-depth investigation.

In the event that a complaint is not consistent or is not substantiated by facts, the officer dealing with the complaint shall report to the management for corrective actions and for deciding whether the business relationship with the client will continue or be terminated for the mutual benefit of both parties.

Where the complaint cannot be resolved within this two week period, a more detailed letter will be written to you explaining why the firm is unable to resolve the complaint.

The Company may take up to one additional week to resolve the complaint. In the event that the dispute is not resolved within two weeks of investigation, a final determination letter will be sent explaining the options you have to pursue the matter further.

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To log an initial expression of dissatisfaction clients are requested to communicate directly with the Customer Support Department.

In the event that 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 requesting a filing as a Complaint.

## Procedure

The client may submit complaints through the following options:

**Email:** [compliance@leadtradeltd.com](mailto:compliance@leadtradeltd.com)

**Telephone:** +357 22 418 218

**Fax:** +357 418 219

**Address:** 9 Kafkasou Street, Treppides Tower, 5<sup>th</sup> Floor, 2112 Nicosia, Cyprus

All complaints will be treated strictly confidential.

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If you believe that your Complaint has not been handled in a fair and equitable manner by the Company you have the right to refer the matter to the Financial Ombudsman of the Republic of Cyprus.

## Escalation & Financial Ombudsman

The Financial Ombudsman is an independent service for settling disputes between financial firms and their clients. For more information please go to: <http://www.financialombudsman.gov.cy>.

If wish to escalate your complaint you are advised to submit your complaint to the Financial Ombudsman at: [complaints@financialombudsman.gov.cy](mailto:complaints@financialombudsman.gov.cy) with all relevant information/documentation and evidence of your complaint.

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For internal use only

Complaint received by: .....

Date of reception: ..... / ..... / .....

Reference number: .....

Department involved: .....

Employee involved: .....

Initial response to client:  Yes,  No

Date: ..... / ..... / .....

Initial Action Taken: .....

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Informed client of initial action taken:  Yes,  No

Date: ..... / ..... / .....

Further Action Taken:  Yes,  No

Date: ..... / ..... / .....

Further Action Taken: .....

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File handed on to Compliance Officer:  Yes,  No

Date: ..... / ..... / .....

Settlement of complaint:  Yes,  No

Date: ..... / ..... / .....

Summary of how the complaint was settled:

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Signature of Responsible Officer: ..... Date: ..... / ..... / .....