

## COMPLAINTS PROCEDURE FOR CLIENTS

We, GBE brokers Ltd. (hereinafter, the “Company”), have adopted this Complaints Procedure in order to ensure a fair and quick process for handling complaints that may arise from our relationship. In case you do not fill in the complaints form (attached at the end of this procedure), your request will be treated as an enquiry and processed as such.

### 1. Submitting your Complaint

You may submit your complaint in writing and addressed to the Back Office or Compliance Department of the Company who is authorized to handle and investigate complaints that may be submitted to him from our 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, 2nd Floor, Office 22, Corner of Ayiou Andreou and Arch. Kyprianou Street, 3036 Limassol, Cyprus**
- (b) By submitting the Complaints Form electronically at the following email address: **trading@gbebrokers.com**
- (c) By Facsimile at + 357 25 08 88 79

### 2. Acknowledging your Complaint

We will acknowledge receipt of your complaint within five (5) business day(s) from the receipt of your complaint and provide you the unique reference number of your 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.

### 3. Handling of your Complaint

Once we acknowledge receipt of your complaint we will review it carefully, investigate the circumstances surrounding your complaint and will try to resolve it without undue delay.

We shall make every effort to investigate your complaint and provide you with the outcome of our investigation within two (2) months from the date you have submitted your complaint to us. During the investigation process will keep you updated of the handling process of your complaint. One of our officers may contact you directly (including 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 our officers within the period of three (3) months from the date of the submission of your complaint. We will require your full cooperation in order to expedite the investigation and possible resolution of your 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.

#### 4. Final Decision

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

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

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

**Email:** [complaints@financialombudsman.gov.cy](mailto:complaints@financialombudsman.gov.cy)

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

**Telephone:** +35722848900

**Fax:** +35722660584, +35722660118

If you are not satisfied with the Company's final decision you may check with the office of the Financial Ombudsman of the Republic of Cyprus and seek mediation for 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.

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 we ought to have provided you with our final decision.

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

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

**General email:** [info@cysec.gov.cy](mailto: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.

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.

### **DATE:**

### **CLIENT INFORMATION**

Name:

Surname:

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:

Code:

Country:

Telephone Number:

Email:

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

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**FOR OFFICIAL USE ONLY**

Received on:

Received by:

Assigned to:

To reply by: