

Dispute Resolution & Complaints Procedure

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MOCAZ FINANCIAL MARKETS LIMITED. (“MOCAZ FINANCIAL MARKETS LIMITED”, “we”, “us”, “our”) trading 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 principles of Treating Customers Fairly and the 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.

Contact us:

Our details are as follows:

By Post: MOCAZ FINANCIAL MARKETS LIMITED.

Suite 305, Griffith Corporate Centre, P.O Box 1510, Beachmont, Kingstown St. Vincent and the Grenadines

By Email: compliance@mocaz.com

By Website (Live Chat): www.mocaz.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.

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 MOCAZ FINANCIAL MARKETS LIMITED., please also provide copies of such information]

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