

GF Financial Markets (UK) Limited External Complaints Policy

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1. Introduction

GF Financial Markets (UK) Limited (GFFM, the “Firm”) is authorised and regulated by the Financial Conduct Authority (FCA). The Firm must have in place effective and transparent policies and procedures for the prompt handling of client complaints.

All complaints are required to be assessed by the complaints management team against applicable FCA complaints rules.

As required by the FCA, the Firm will communicate with clients in plain language that is easy to understand and reply to the complaint without undue delay.

2. How to submit a complaint?

Clients can submit a complaint free of charge by any reasonable means. This includes written or verbal, in person, or through another means of communication.

Email:

compliance@uk.gffm.com

Post:

Attention of Compliance / Complaints Management
GF Financial Markets (UK) Limited
1 Finsbury Square, London EC2A 1AE

GFFM Business and Staff contacts:

A complaint can be made directly to your GFFM business or staff contact, who will forward the complaint to the complaints management team.

3. What information do we need?

We will require the following information in order to assess the complaint without any undue delay:

- Name of client or contact details for the person handling the client’s complaint.
- Clients contact details: postal address, email address, telephone number.
- Information regarding the specific complaint: date and time, product, service, process or issue, GFFM contacts, names of any other individuals relating to the complaint, any other relevant information.

4. Responding to your complaint

We will endeavour to resolve the complaint promptly and without any undue delay.

On receipt of a complaint, you will be sent a prompt written acknowledgement of your complaint and be kept informed of the progress of the complaint's resolution.

In all cases, we will explain clearly our assessment of the complaint, the decision of the Firm, and any offer of remedial action or redress.

If we are able to resolve the complaint within 3 business days of receiving the complaint, you will be provided with a summary resolution communication.

The Firm must endeavour to resolve any complaint by the end of 8 weeks after initially receiving a complaint and respond with a final response.

5. Financial Ombudsman Service

The Financial Ombudsman Service (FOS) is approved by the FCA as the Alternative Dispute Resolution entity (ADR) for financial services sector firms that are subject to the FCA. It is independent of the FCA and is free for consumers to use.

If the Firm has been unable to resolve the complaint within the 8-week time limit, it must provide an explanation as to why it has been unable to do so, as well as providing certain information as required by the FCA's complaints regulations, including that you may refer the complaint to the FOS. You may also refer the complaint to the FOS if you are dissatisfied with the final response or summary resolution communication provided by the Firm.

Please note that the FOS will only consider a complaint if the Firm has already had 8 weeks to consider the complaint or you have been sent a final response or summary resolution communication.

Financial Ombudsman Service Contact Details

Financial Ombudsman Service
Harbour Exchange Square
London E14 9SR

FOS UK Helpline: [0800 023 4567](tel:08000234567)

FOS Overseas Helpline: [+44 20 7964 0500](tel:+442079640500)

FOS email: complaint.info@financial-ombudsman.org.uk

FOS website: <https://www.financial-ombudsman.org.uk/>