

## Complaint Instruction Form

The company classifies a complaint as any objection or dissatisfaction that the client may have with regards to the provision of any investment or ancillary service provided by the company.

### COMPLETING THE COMPLAINT FORM

**PLEASE READ CAREFULLY.** We are best able to assist you with your complaint if you do the following:

1. Answer all questions giving full name, title, address and phone number(s). Provide summary of the facts describing the nature of the complaint and state the desired resolution as appropriate. Your signature is required to process your complaint.
2. Attach scanned copies (or hard copies if via post) of any letters, documents, contracts or receipts relating to your complaint. Email (or post) your complaint Form (as per below) together with any attachments to the email address (postal address) provided in the complaint Form
3. Your complaint will be first received and dealt with by Head of Administration/Back Office Officer and if needed, will be escalated to the Compliance Officer. The complaint can be escalated to the General Manager if the nature of the complaint requires his involvement and/or where the complaint involves the Compliance Officer.
4. You shall receive – within five days - an email from the Company acknowledging receipt of your complaint and providing you with a “unique complaint reference number”. Kindly make sure you use that reference number in all future communication with the OXIS Trades and/or FSA and/or Financial Ombudsman regarding your specific complaint.
5. The Company is responsible for ensuring that you receive a written final response in reply to the Complaint filed two (2) months from receipt of the complaint. The timeframe of two months may be extended for an additional month in case more time is required for the investigation. In such cases the Company shall issue a holding response in writing or other durable medium. When a holding response is sent, it will inform you of the reasons for the delay and indicate the period of time within which it is possible to complete the investigation, usually no later than one (1) month from the issuing of the holding response.
6. If a situation arises which is not expressly covered by OXIS Trades Ltd Agreement, the Parties agree to try to resolve the matter on the basis of good will and fairness and by taking such as in consistent with market practice.
7. All decisions relating to your complaint or grievances are communicated to you in writing (including electronic email) and copies are saved in our records.
8. Our ability to assist you will depend upon your giving us a complete and detailed statement.
9. Your right to take legal action remains unaffected by the existence or use of any complaint procedures referred to above.



You may register a complaint using one of the following options:

- [complaintcy@oxistrades.com](mailto:complaintcy@oxistrades.com)
- Phone : +44 (0) 174-837-6178

Alternatively, should you still remain dissatisfied following our final response, you can refer your case to the Financial Ombudsman of the Republic of SVGS . This is an independent organisation set up to resolve disputes/complaints between investors and Financial Investment Firms ("FIF").

Please note that the Financial Ombudsman of the Republic of SVGS encourages investors to contact them only after Atallia has been given the opportunity to resolve your complaint. Their contact details are as follows:

The Financial Ombudsman of the Republic of SVGS  
Address: 109 Hillsboro Street St. Vincent & Grenadines.  
Phone: 22848902 (main number)  
Facsimile (Fax): 22660584, 22660118  
E-mail:

- Complaints: [complaints@financialombudsman.gov.cy](mailto:complaints@financialombudsman.gov.cy)
- Financial Ombudsman: [fin.ombudsman@financialombudsman.gov.cy](mailto:fin.ombudsman@financialombudsman.gov.cy)
- Website: [www.financialombudsman.gov.cy](http://www.financialombudsman.gov.cy)

You may contact Financial Ombudsman within 4 months after we have provided our final response to you regarding your complaint, or in the unlikely event we have not responded to your complaint, you may contact the Financial Ombudsman after 3 months have elapsed since the date of submitting your complaint to us.



## Client Complaint Form

### A. Your Information:

Name :	Account Number at OXIS Trades :
Surname:	
Address:	
Home Phone:	
Cell Phone :	
Email address:	

### B. Brief Summary of the complaint/Grievance:

Kindly provide a brief factual description of the problem you experienced. To assist in reviewing your complaint, please be sure to include the following:  
Detailed enquiry description, The affected transaction numbers, if applicable,  
The date and time that the issue arose and suggested way to be solved...Please  
enclose any relevant documentation that may help us.

--

*I certify that, to the best of my knowledge, all information supplied by me is true.*

---

**Date and Place**

---

**Client Signature**



C. For Internal use only :

Complaint Received by :	Date:
Complaint Reference number :	
Response sent to the client within 5 days	Yes <input type="checkbox"/> No <input type="checkbox"/>
Holding response sent to the client	Yes <input type="checkbox"/> No <input type="checkbox"/>
List of further actions taken as per holding response :	
Head of Back Office signature: _____ Date: _____ <b>(when complaint is for Back Office then Compliance officer needs to be informed and sign)</b>	
Compliance Officer signature : _____ Date: _____	
General Manager signature: _____ Date: _____ <b>(If issue is not resolved within 5 days from the date the complaint was received)</b>	
The General Manager has informed: Board: Signature: _____ Date: _____  Legal Advisor: Signature: _____ Date: _____	