

CLIENT COMPLAINT PROCEDURE

1. Introduction

Following the implementation of the Markets in Financial Instruments Directive (MiFID) and in accordance to the provisions of the Directive for the Authorization and Operating Conditions of the Cyprus Investment Firms (DI144-2007-01), One Plus Capital Ltd (hereinafter called the “Company”) is required to establish, implement and maintain effective and transparent procedures for the reasonable and prompt handling of complaints received from retail clients or potential retail clients, and to keep a record of each complaint and the measures taken for the complaint’s resolution.

2. Procedure

Complaints may be submitted in writing, orally, by fax or by email at the contact details provided below:

1. Postal Address: 75 Prodromou Avenue, Oneworld Parkview House, 1307 Nicosia, Cyprus (Attention to: Complaints Handling Officer)
 2. By telephone: (+357) 22 873760
 3. By Facsimile: (+357) 22 873889
 4. By email: complaints@onepluscapital.net
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- A. All complaints must be acknowledged in writing within five (5) business days of being received. The written acknowledgment sent by the Company to the complainant will include the complaint’s unique ten (10) digit reference number, as well as details of the name and capacity of the person dealing with the complaint. Depending on the significance of the complaint, this acknowledgement may also include a resolution to the complaint.
 - B. If it is NOT possible to resolve the complaint within five (5) business days, a letter of acknowledgement should state that the complaint is under investigation and that upon completion, the complainant will be informed in writing of the outcome of the investigation.
 - C. In case the investigation is not concluded within two (2) months following the submission of the complaint, the complainant will be informed in writing of the reasons for the delay and when he should expect completion of the investigation process (this period will not exceed three {3} months from the submission of the complaint).
 - D. Within five (5) business days of the completion of an investigation a written report must be sent to the complainant explaining clearly:
 - i. The outcome of the investigation.
 - ii. The nature and terms of any offer of settlement which the Company is prepared to make in satisfaction of the complaint.
 - iii. The reasons for declining to offer a settlement.
 - iv. A statement of the fact that the Company will treat the complaint as settled if the complainant does not indicate dissatisfaction within one month of receiving the report.
 - E. Finally, the Company will inform the complainant that he may refer the complaint with a copy of the final response to the Cyprus Securities and Exchange Commission for further investigation or the Financial Ombudsman of Cyprus.



The details of the Financial Ombudsman of the Republic of Cyprus are:

Address: 13 Lord Byron Avenue, 1096 Nicosia

Phone: +357 22848900

Facsimile (Fax): +357 22660584, +357 22660118

E-mail:

- Complaints: complaints@financialombudsman.gov.cy
- Financial Ombudsman: fin.ombudsman@financialombudsman.gov.cy
- Website: www.financialombudsman.gov.cy

The details of the Cyprus Securities & Exchange Commission are:

Address: 27 Diagorou Street, 1097 Nicosia

Telephone: +357 22506600

Fax: +357 22506700

E-mail: info@cysec.gov.cy

Note: The Company shall cooperate with the Cyprus Securities and Exchange Commission and/or the Financial Ombudsman in case they carry out their own investigation in relation to a client's complaint.