

# Complaints Handling Procedure

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This policy regulates effective, clear and prompt handling of complaints submitted to Alchemy Markets Ltd in relation to its services. The Firm maintains Records of Complaints and measures taken their expedient resolution, in line with applicable Laws, Rules and/or Regulations.

AML240717



## 1. Introduction

Alchemy Markets Ltd.'s primary commitment is to deliver the highest level of service to our Clients. In the event that a Client expresses dissatisfaction with the services provided, we will make every effort to reach an amicable resolution. Nevertheless, should this not be achievable, Alchemy Markets Ltd. has appointed a dedicated Consumer Complaints Manager whose principal responsibility is to address complaints from retail Clients. The Consumer Complaints Manager will handle grievances fairly, consistently, and promptly.

Complaints can be addressed to:

The Compliance Officer  
Alchemy Markets Limited  
Suite 124, Signature Portomaso  
Vjal Portomaso,  
St. Julians PTM01  
MALTA  
Phone:(+356) 2778 1919  
Email: [compliance@alchemymarkets.eu](mailto:compliance@alchemymarkets.eu)

## 2. Definitions

- Complaint:** Means a statement of dissatisfaction by a client addressed to the Firm in relation to the provision of investment and/or ancillary services provided to the client by the Firm.
- Complainant:** Means any person, natural or legal, who is a client of the Firm.



## 3. Submitting a Complaint

The Complainant, if possible, should report the event or the date of the occasion subject of the complaint to Alchemy as soon as possible. This is necessary to enable us to investigate the complaint as efficiently as possible.

Alchemy's Client Support Department will receive and, at first, manage complaints within the Firm. Employees of the Client Support Department shall help the Complainant in compiling and submitting the complaint. The Complainant must submit his complaints in relation to services rendered as outlined in the Client Agreement (or any other applicable agreement). Our Client Agreement is available on our website.

If employees of the Client Support Department are unable to settle the complaint efficiently, the complaint will be escalated to the Compliance Department of the Firm.

## 4. When we receive your complaint

Upon receipt of a complaint, Alchemy will provide a response without unnecessary delay, or at least, by no later than fifteen working days from when the complaint was registered. Additionally, we will outline our intended approach for addressing the matter in writing. In the case of a telephone-based complaint, our response also serves to articulate our understanding of your concerns, providing an opportunity for you to clarify any potential misunderstandings.

The Firm shall register all complaints. This register shall record the following information as a minimum:

- Nature of the complaint.
- Description of the event or subject of the complaint.
- Date of submission of the complaint.
- Measures implemented to settle or solve the complaint.
- In case of rejection, the reason for rejection.



- Date of response to the complaint; and
- Any other information deemed necessary.

The Firm is required to record and keep the necessary data for the settlement of the complaint. All personal details obtained in relation to managing the complaint shall be deleted from our records after the record-keeping period has elapsed.

Alchemy's complaints management system is transparent; this means that complaints can be traced and administered at each and every stage of the procedure.

The Firm manages all complaints equally and fairly, without any discrimination, in line with this Policy.

Complaints are handled by:

### **Client Support Department**

Where possible, all complaints must be settled without delay. Alchemy employees will forward all complaints submitted in writing to the Client Support Department. The Client Support Department shall be responsible for settling complaints. The officers of the Client Support Department will inform you of the appropriate process to follow.

If you are contacting us on behalf of another person, we may ask you to provide proof of that person's consent to your handling of their Complaint. We aim to resolve the matter within fifteen (15) business days depending on the nature of the complaint.

### **Compliance Department**

If employees of the Client Support Department are unable to settle the complaint efficiently or within a short period of time, they will escalate the complaint to the Compliance Department of the Firm. The Complainant, if they do not accept the solution offered by the Client Support Department, is also entitled to approach the Compliance Department directly.



## 5. Resolving your complaint

We will assess Client complaints and, if further information is necessary, will communicate with you through writing or telephone to clarify the required details. It is crucial for Clients to understand that all complaints are treated impartially and individually, following thorough discussions with the Clients and all relevant parties involved. After completing a comprehensive investigation, we will send you a letter, informing you of the findings. The response will include the results of the investigation, our assessment of the concerns raised in the complaint, and, if applicable, details of any proposed resolutions offered.

## 6. If there is a delay in resolving your complaint

The Malta Financial Services Authority (MFSA) requires us to resolve most complaints within fifteen days from receipt of the complaint. We are committed to achieving this goal and aim to address all complaints as promptly as possible. If we require additional information to resolve the issue or if there are delays for any other reason, we will notify you accordingly.

Where the investigation of a complaint is not completed within, we shall:

1. Inform you or your representative about the causes of the delay;
2. Provide an indication as to when the investigation is likely to be completed.

If you are not satisfied with the manner in which your complaint has been resolved by Alchemy Markets Ltd, you may refer your complaint to the Office of the Arbiter for Financial Services established under the Arbiter for Financial Services Act (Cap. 555).



Office of the Arbiter for Financial Services

1st Floor

St Calcedonius Square

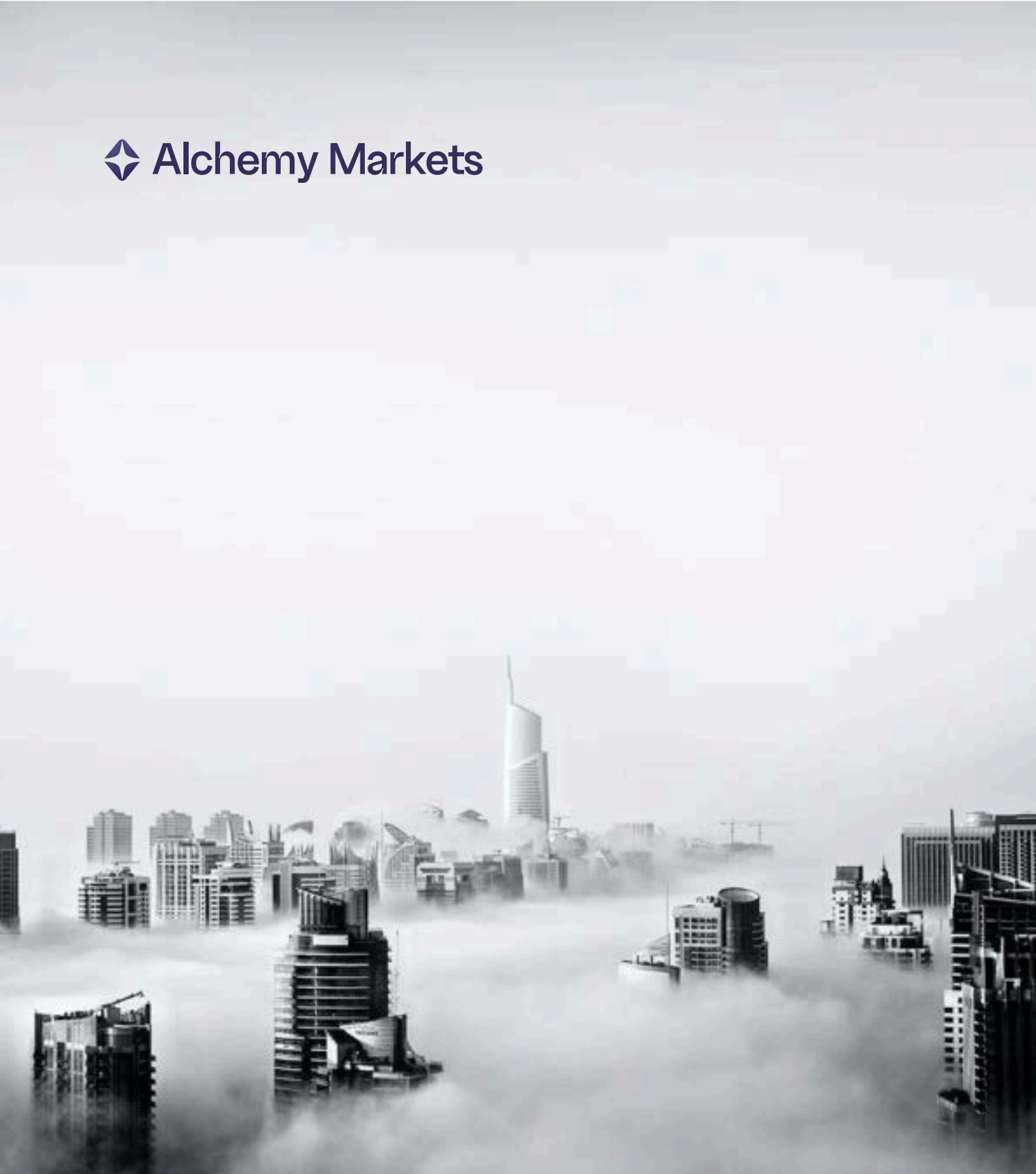
Floriana FRN 1530

Malta

Freephone: 80 072 366

Telephone: (+356) 21 249 245

Web: OAFS ([financialarbiter.org.mt](http://financialarbiter.org.mt))



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Alchemy Markets Ltd is registered in Malta with Company Registration Number: C/56519.

Alchemy Markets Ltd is authorised and regulated by the Malta Financial Services Authority (License Number IS/56519) to provide investment services in terms of the Investment Services Act (CAP.370 of the Laws of Malta).