

Complaints Handling Policy



1. Purpose

The Complaints Handling Policy outlines the procedures and guidelines for handling and resolving complaints raised by clients or stakeholders of **LDN GLOBAL MARKETS LLC**, a Limited Liability Company incorporated in Saint Vincent with registration number 1547 LLC 2021 and having its registered address at First Floor, First St. Vincent Bank Ltd Building, James Street, Kingstown, St. Vincent and the Grenadines ("the Firm").

2. Scope

This policy applies to all complaints received by the Firm, related to investment or ancillary services provided by the Firm, its employees, representatives, or associated entities.

3. Definition of a Complaint

A complaint is defined as an expression of dissatisfaction, whether justified or not, related to the Firm's services that requires a response or resolution. A complaint shall include:

- the client's name and surname;
- the client's trading account number;
- the affected transaction numbers, if applicable;
- the date and time that the issue arose; and
- a description of the issue.

4. Handling Complaints

a. Receipt of Complaints: The Firm will acknowledge receipt of complaints promptly upon receipt, usually within 48 hours.

b. Complaint Handling Process:

- All complaints will be handled fairly, promptly, and in accordance with applicable laws and regulations.
- The Firm will designate responsible individuals or a dedicated department to handle complaints.
- Complaints will be investigated thoroughly and objectively.
- The Firm will maintain records of all complaints received, including details of the complaint, actions taken for resolution, and any outcomes.

c. Resolution of Complaints: The Firm aims to resolve complaints as swiftly as possible. Upon completion of the investigation, the Firm will provide a written response outlining the findings and any proposed resolution or action to be taken.

5. Escalation Process

If the complainant is dissatisfied with the initial response, they may request a review or escalate the complaint to a higher authority or an external dispute resolution body, as permitted by applicable laws and regulations.

6. Records and Reporting

The Firm will maintain comprehensive records of all complaints received, including details of investigations, resolutions, and any actions taken. Periodic reports regarding complaints and their resolution will be submitted to the regulatory authorities as required by law.

7. Training and Review

The Firm will provide appropriate training to employees involved in handling complaints to ensure they are equipped with the necessary skills and knowledge. Additionally, this policy will be reviewed periodically and updated as necessary to ensure its effectiveness.

8. Communication

This Complaints Handling Policy will be made available to clients through the Firm's website and other appropriate communication channels.

By implementing and adhering to this Complaints Handling Policy, LDN GLOBAL MARKETS LLC aims to provide efficient and fair resolution of complaints and demonstrates its commitment to ensuring client satisfaction.