



COMPLAINTS PROCEDURE

(October 2018)

Zeal Capital Market (UK) Limited (the Company) is authorised and regulated by the Financial Conduct Authority (FCA). As a regulated firm, we have established the following procedure for handling complaints from our customers.

If you are dissatisfied with the service you have/have not received you should, in the first instance, refer your dissatisfaction to your normal contact within the Company or with our support staff, who are available to speak to you five days a week. They can be contacted by email at support@zfx.co.uk or by telephone +44 (0)20 7157 9968.

You can also write to us at:

Zeal Capital Market (UK) Limited
4 Lombard Street
London
EC3V 9HD

We will acknowledge receipt of your complaint promptly and will endeavour to resolve any complaints within three working days. If you accept our suggested solution, we will regard that complaint as resolved and no further action will be taken.

If we cannot resolve your complaint within three days or you remain dissatisfied, all the details relating to your complaint will be passed to our Compliance department for their attention. You will be sent a formal acknowledgement of your complaint within 5 working days of its receipt. The Compliance department, who can be contacted by email at complaints@zfx.co.uk, will investigate your dispute competently, diligently and impartially.

It may be necessary to carry out further investigation and we may request additional information from you. If this occurs we may require up to 8 weeks from the date of receipt of your complaint before we respond to you. We will keep you informed of the progress of our investigation of your complaint.

Within eight (8) weeks of receiving your complaint the Company will send you either:

- (i) our Final Response to your complaint; or
- (ii) written response that will explain the reasons for the delay in providing you with our Final Response and indicate the date by which we expect to provide you with our Final Response.

If you are dissatisfied with the final response you receive from us or if we fail to resolve your complaint within eight (8) weeks of our receipt of your complaint.

If you are an elective Professional Client you may have the right to refer your complaint to the Financial Ombudsman Service (FOS), but you must do so within six (6) months of the date of the final response we send to you. If you do not refer your complaint in time, the Ombudsman will not have our permission to consider your complaint and so will only be able to do so in very limited circumstances. However, if you have per se Professional Client status or if you are an Eligible Counterparty then you do not have the right to refer your complaint to FOS.

Details of how you can contact the Financial Ombudsman Service and a link to their explanatory leaflet will be supplied at the same time as our final response. You may request a copy of the explanatory leaflet from the Financial Ombudsman Service directly. They can be contacted at:

Financial Ombudsman Service
Exchange Tower
Harbour Exchange
London E14 9SR

Telephone 0845 080 1800
E-mail complaint.info@financial-ombudsman.org.uk
Website: www.financial-ombudsman.org.uk