



COMPLAINTS PROCEDURE

(September 2021)

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 our service and wish to make a complaint you should contact our client services team on +44 (0)20 7157 9968, or email support@zfx.co.uk. You can also write to us at Zeal Capital Market (UK) Limited, 1 Royal Exchange, London EC3V 3DG. Your complaint will be handled by someone who was not directly involved in the events about which you are complaining.

We appreciate that from time to time, things can go wrong or there can be misunderstandings. We are committed to dealing with queries and complaints positively and sympathetically. Where we are at fault, we aim to put things right at the earliest opportunity.

Our aim is to resolve complaints efficiently, fairly and promptly. Where we are able to resolve your complaint by close of business on the third business day following receipt we will provide you with a Summary Resolution Communication. This will inform you of how we consider your complaint to have been resolved, and that if you are subsequently dissatisfied with the resolution you may be able to refer your complaint to the Financial Ombudsman Service. You would usually need to make a referral to the Financial Ombudsman Service within six months from the date the Summary Resolution was issued.

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.

If we are unable to resolve your complaint within 8 weeks of receiving it, we will contact you to explain why, and let you know when we expect to be able to provide a Final Response, and that you may be able to refer your complaint to the Financial Ombudsman Service. In doing so, we will provide you with a copy of the Financial Ombudsman Service standard explanatory leaflet.

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 will not have the right to refer your complaint to FOS.

FOS will not consider a complaint until we have had the opportunity to review and respond to your complaint in line with the process set out previously.

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: 0800 023 4567

If you are telephoning from outside the UK: +44 20 7964 0500

E-mail complaint.info@financial-ombudsman.org.uk

Website: www.financial-ombudsman.org.uk