



Finance Managers International Limited Complaints Procedure



Finance Managers International Limited — Complaints Procedure

Finance Managers International Limited trading as UBFX is an appointed representative of TigerWit Limited, which is authorised and regulated by the Financial Conduct Authority register number 679941.

UBFX: 288 Bishopsgate, London EC2M 4QP.

Contents

1. Complaints Procedure ...2

Complaints Procedure

Our aim is to provide a high level of service to all our clients all of the time. We value all feedback and use it to enhance our products and services. 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.

If you are dissatisfied with our service you should, in the first instance, contact our client services team on +44 20 38089388, or email support@ubfx.co.uk. Once we have received your complaint, we will acknowledge receipt promptly by email. Your complaint will be handled by someone who was not directly involved with the subject of the complaint.

Our aim is to resolve complaints efficiently and fairly by close of business on the third business day following receipt. Where we are able to do so, our client services team will provide you with a Summary Resolution Communication which will inform you of how we consider your complaint to have been resolved and that if you are 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.

Where we do not believe that we will be able to resolve your complaint by close of business on the third day following receipt, your complaint will be reviewed by our Compliance team. We will provide a final response within 8 weeks of receiving your complaint. The final response will set out our understanding and assessment of your complaint; the outcome and supporting reasons; and details of any proposed remedial actions or redress. We will also inform you that if you remain dissatisfied, you may be able to refer your complaint to the Financial Ombudsman Service and that you have six months to do so.

If we are unable to resolve your complaint within 8 weeks of receiving it, we will contact you to explain why, 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.

Due to CFTC regulatory restrictions and in accordance with the Dodd-Frank Act, FINANCE MANAGERS INTERNATIONAL LIMITED AND THEIR PRINCIPAL — TIGERWIT LIMITED — CANNOT OPEN ACCOUNTS FOR RETAIL CUSTOMERS WITH RESIDENCE IN THE UNITED STATES*.

*A United States resident means any of the following: any natural person resident of the United States; any company, partnership, or other legal entity created or organised under the laws of any jurisdiction of the United States; a branch or agency of a foreign entity located in the United States; a trust of which the trustee is a United States resident; an estate of which a United States resident is the executor or administrator; or any account held for the benefit of a United States resident.



All complaints will be investigated thoroughly taking into the nature of your complaint; the information contained in our records; the evidence you have provided; and relevant guidance from our regulator, the Financial Conduct Authority, and from the Financial Ombudsman Service.

Financial Ombudsman Service (FOS)

If you remain dissatisfied following our final response to your complaint, or we have been unable to provide a final response within 8 weeks of receiving it, you may, subject to eligibility, be able to refer your complaint to FOS. FOS acts as an impartial adjudicator in the resolution of disputes between consumers and financial services businesses and is free of charge. You are likely to be eligible to refer your complaint to FOS if we have categorised you as a retail client or if you are acting for purposes outside your trade, business or profession. However, eligibility is ultimately determined by FOS.

Any referral to FOS should be made within six months of our final response letter to you. 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.

The contact details for FOS are as follows:

Financial Ombudsman Service
Exchange Tower
Harbour Exchange
London E14 9SR

Tel: 0800 023 4567

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

Website: <http://www.financial-ombudsman.org.uk>

The FOS explanatory leaflet is available at the following link:

<https://www.financial-ombudsman.org.uk/publications/consumer-leaflet.htm>