



Complaints Policy

In the unlikely event that you feel dissatisfied with any area of our service we ask you to contact our Client Services team via email at clientservices@alphacapitalmarkets.co.uk. Alpha has established an internal complaints procedure to ensure that your complaint is handled efficiently and effectively. We will attempt to resolve your initial issue or complaint within one (1) business day. To help our team(s) with the review of your complaint or issue please make sure to provide us as much detail as possible in your initial e-mail, including:

1. Full name and Account number.
2. A description of your complaint, and the end result you would prefer.
3. Any documentation you have to support your complaint.
4. A contact phone number and e-mail address, where we can contact you.

If we are not able to resolve your complaint at this level, you may raise the matter as a complaint with our Compliance team. Our team is available via e-mail at compliance@alphacapitalmarkets.co.uk. The team will undertake an impartial assessment of the complaint. A final written response will be provided within eight weeks of the date the original complaint; however, we will work to resolve your complaint well within this timeframe.

If you have been classified under MiFID as an eligible client, and you feel that we have failed to satisfactorily resolve your complaint, then you are able to refer, and we encourage you to refer, your complaint to the Financial Ombudsman Service. Any reference to the Financial Ombudsman Service must take place within six months of the final response from Alpha. The Financial Ombudsman Service will not consider a complaint until we have had the opportunity to address the complaint and exhausted all potential avenues of resolution with you.

The address of the Financial Ombudsman Service is:

Financial Ombudsman Service
Exchange Tower
London
E14 9SR

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

Website: www.financial-ombudsman.org.uk

ACM Group PLC ("Alpha")

1st Floor Broadgate Tower, 20 Primrose Street, London, EC2A 2EW, United Kingdom

Phone: +44(0)2070784822 | Email: clientservices@alphacapitalmarkets.co.uk | Web: <https://alpha-capitalmarkets.com/>

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