

Complaints Policy

Effective date: 3 April 2020



| Global

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This document forms part of the client agreement with LMAX New Zealand Limited.

We are committed to providing a high standard of service to all our customers on every occasion. We do recognise however, that occasionally there may be circumstances where you are dissatisfied with the service you may have received.

If you have a complaint about any aspect of our service then we would like to hear from you. You can contact us by telephone or in writing, by post or fax on the details given below:

Telephone: +64 4889 4510

All calls will be recorded for compliance and training purposes

Email: info@lmax.nz

Address: LMAX Global, Level 10-12, 11 Britomart Place, Auckland Central, Auckland 1010, New Zealand

To help us investigate and resolve the complaint as quickly as possible, please make sure you provide the following information:

- › Your name, address and Username
- › A clear description of your concern or complaint
- › Details of what you would like us to do to put it right
- › Copies of any relevant correspondence, such as emails
- › A daytime telephone number where we can contact you

We will try to resolve your complaint immediately, and with minimum of inconvenience to you.

Where we have not been able to resolve the matter, we will provide a written acknowledgement of your complaint by close of business three business days following receipt of your complaint. The acknowledgement will provide details of who will investigate your complaint and what their contact details are, what our understanding of your complaint is and what our complaint procedures are. We will then send you a written response within 8 weeks.

If you remain unhappy with our efforts to settle your complaint, you may refer the complaint to the Financial Dispute Resolution Service who deals with unresolved complaints from eligible customers.

The contact details for the Financial Dispute Resolution Service are:

Address: Level 4, 142 Lambton Quay, Wellington Central, Wellington 6011, New Zealand

Telephone: +64 4910 9952

Email: enquiries@fdrs.org.nz

Website: www.fdrs.org.nz