



## **Compliant Handling Procedures**

Carlton Limited (the “Company”) cares about always keeping its clients happy and satisfied with its services. The purpose of this complaint policy is to outline the Company’s effective and transparent procedure for the immediate complaint handling of all existing clients.

This Complaint Handling Procedures forms part of the Client Agreement. Any capitalized term not defined in this Complaint Handling Procedures shall have the meaning ascribed to it in the Client Agreement.

The Company may amend this Complaint Handling Procedures and it shall apply to you once it is published on our Website. Please ensure to check our Website regularly.

In order to file a complaint, please send a description and the date the incident has occurred along with any supporting documentation to [info@carltonfx.com](mailto:info@carltonfx.com).

When a valid complaint is received, the Company shall take into account the particular issues raised and the evidence provided by the Client. Upon receipt of a valid complaint, a written acknowledgment e-mail will be sent to the client within two (2) working days. This Acknowledgement e-mail will further notify the Client of the unique reference number (URN) which must be used in all future contact with the Company regarding the specific complaint.

The Company will investigate the Client’s complaint with the aim of reaching a final resolution of any issue in a timely manner, with a maximum of two-month period from the initial complaint receipt.

During the complaint investigation period, the Company may inform the Client of the handling process and request additional information and/or documentation (as necessary) for the full assessment of the said complaint.

In the event that the Company is unable to reach a final resolution of the complaint within the aforementioned two- month period, the Client will be notified beforehand of the reasons for the delay and further indication will be provided regarding the period of time within which it will be possible to complete the investigation, with the maximum extension being an additional one month.

The Company always aims to resolve complaints in an amicable and professional business manner.

Should the Client feel dissatisfied with our assessment and/or any settlement offer, we would like to inform you that you have the right to refer the complaint to Mauritius Financial Services Commission no later than four months after the date that you were notified about our final decision.

If the dispute is not settled as per the above, only then the Client may refer the matter to arbitration as outlined in paragraph 16.3 of the Client Agreement.