

## 1. Introduction

Focus Markets LLC, trading as DNA Markets (“the Company”) is incorporated in Saint Vincent and the Grenadines with number 356 LLC 2020 and registered address at 1st Floor, First St. Vincent Bank Ltd Building, James Street, Kingstown, VC0100, St. Vincent and the Grenadines. DNA Markets offers financial and commodity-based derivative instruments and other securities.

## 2. Making a Complaint

If you are a client or a potential client of the Company and are a private individual or represent a business at the time the complaint is made to us, and you are dissatisfied with any aspect of your dealings with us, you have the right to complain to us. You may make such a complaint in writing, over the telephone, or in any other usual method of communication which is convenient for you.

### 2.1. Definition of a Complaint

A complaint is an expression of dissatisfaction by Clients regarding the provision of investment and/ or ancillary services provided to them by the Company.

The Client shall provide the Company with the following information in relation to the complaint:

- (a) Client’s full name
- (b) Client’s email address
- (c) Client’s account number
- (d) Date / Time of disputed situation
- (e) Brief description of the disputed situation
- (f) Preferred resolution of the disputed situation

### 2.2. Submitting Complaints

The Client can make a complaint to the Company by emailing: support@dnamarkets.com, or by a completing and emailing the appropriate Complaint Form (**Form**) to the Company (refer to the Form in Appendix **A** for Trading Operations complaints, and Form in Appendix **B** for Non-Trading Operations complaints).

## 3. Dealing with Your Complaint

As soon as we receive your complaint, it will be referred to the relevant department within our business and if required, you will be contacted and asked to provide as much information as you can in relation to the complaint. We will endeavour to resolve the complaint to your satisfaction within five (5) business days.

If we are unable to resolve your complaint within five (5) business days, we will acknowledge your complaint in writing and a member of our compliance Department will be appointed to oversee and handle our investigation. We will keep you up to date as matters progress. You are free to contact us at any time if you have any questions.

At the earliest opportunity or after three (3) attempts at resolving the complaint matter with you we will send a final written response to you which either:

- (a) Accepts the complaint and, where appropriate, offers redress or remedial action; or
- (b) Offers redress or remedial action without accepting the complaint; or
- (c) Rejects the complaint and gives our reasons for doing so; or
- (d) Explains why it is not possible to make a final response and indicates when we expect to be able to do so.

If you accept our decision you should inform us of this, but if you do not do so within eight weeks, the case will be considered closed.

## 4. Complaint Forms

## 4.1. Appendix A

### Type: Trading Operations

Name:

Surname:

Email:

Account Number:

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Date/Time of the disputed situation (In MetaTrader server time):

Number of all contested positions and/or pending orders:

Brief description of disputed situation:

How you feel this dispute could be settled:

Please accompany this form with a screenshot of your Trading Terminal if you feel it would further support your claim request.

## 4.2. Appendix B

**Type: Non-Trading Operations**

Name:

Surname:

Email:

Account Number:

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Date/Time of the disputed situation (In MetaTrader server time):

Brief description of disputed situation:

Clause(s) in the regulations on Non-Trading Operations, which in the complainant's opinion, have been breached:

How you feel this dispute could be settled:

Please accompany this form with a screenshot of your Trading Terminal if you feel it would further support your claim request.