



Allied Mercantile LP LTD

# Client Complaint Policy

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## 1. Introduction

At **Allied Mercantile LP Limited**, we are committed to providing our clients with a high standard of service. However, we understand that there may be occasions when our service falls short of expectations. In such instances, we encourage you to let us know by filing a formal complaint. Your feedback is valuable to us, and we take complaints seriously, ensuring they are resolved in a fair, timely, and transparent manner.

This policy sets out our procedure for handling complaints from clients and how you can contact us if you wish to make a complaint.

## 2. Scope

This policy applies to all clients of **Allied Mercantile LP Limited** in relation to any product or service offered by the company. We are a Cayman Islands-based derivatives trading company licensed under the Securities Investment Business Law (SIBL), and we operate in full compliance with applicable regulations.

## 3. How to Make a Complaint

### 1. Contact Us

If you are dissatisfied with our services or believe there has been an error, you can submit a complaint by one of the following methods:

- **Email:** [compliance@ampltd.com](mailto:compliance@ampltd.com)
- **Mail:** Artemis House, Fort Street, P.O. Box 2775, Grand Cayman, KY1-1111, Cayman Islands

### 2. Details to Include:

When submitting a complaint, please provide as much detail as possible, including:

- Your full name and contact information
- Your account number (if applicable)
- A clear description of the issue or concern
- The impact this issue has had on you
- Any steps you believe we can take to resolve the matter
- Copies of relevant documents, such as emails or screenshots.

You may also use the complaint form provided at the end of this document to submit your grievance.

## 4. Complaint Handling Process

### 1. Acknowledgment

Once we receive your complaint, we will acknowledge receipt no later than the next business day and provide a unique reference number for tracking purposes.

### 2. Investigation

We will investigate complaints and provide a decision to the complainant within two months of submission. If the investigation is delayed, the complainant must be informed of the reason and provided with a timeline for completion, not to exceed three months from the submission date.

### 3. Resolution

After completing our investigation, we will provide you with a written response outlining the outcome of our investigation, any corrective actions we plan to take, and any further options available to you.



#### **4. Escalation**

If you are not satisfied with the outcome of your complaint, you have the right to escalate the matter to the **Cayman Islands Monetary Authority (CIMA)** at <https://www.cima.ky/complaints> if or another relevant regulatory body.

#### **5. Timeframes**

- We aim to resolve all complaints within 2 months.
- In complex cases where additional time is required, we will inform you of the delay and provide an updated timeline for resolution.

#### **6. Confidentiality**

All complaints will be handled with the utmost confidentiality, and your personal information will only be used to address the issue. We are committed to complying with all applicable data protection laws.

#### **7. Complaint Form**

If you wish to file a complaint, you can use the form in Appendix to submit your concerns.

Thank you for bringing your concerns to our attention. We are committed to resolving your complaint fairly and promptly.

For more information on our complaint handling process, please feel free to contact us.

### **Allied Mercantile LP Limited**



## Appendix 1: Client Complaint Form

### Instructions for Completing the Form:

- Fill out all sections clearly and accurately.
- Ensure the complaint reference number is used in all future correspondence regarding this complaint.
- Submit the completed form to Compliance Team for investigation (email: [compliance@amlpltd.com](mailto:compliance@amlpltd.com)).

<b>Client Full Name:</b>	[Full Name]
<b>Account Number (if applicable)</b>	[Trading account number]
<b>Contact Information:</b>	[Phone Number / Email Address / Address]
<b>Description of Complaint:</b>	[Provide a brief description of the complaint]
<b>Date of Issue Occurred</b>	[Detailed dates, time, and any relevant details]
<b>Impact / Financial Loss:</b>	[Describe any financial loss incurred, provided with evidence]
<b>Desire Outcome:</b>	[How would you like us to resolve this issue?]
<b>Supporting Documents:</b>	[Please attach any relevant documents that may help us investigate your complaint.]

Signature: \_\_\_\_\_

Date: \_\_\_\_\_