



Complaints & Dispute Resolution Policy

SM-INVEST is a trading name of Scope Markets Limited. Financial Services are provided by Scope Markets Ltd, registration number 145,138 (registered address: 6160, Park Avenue, Buttonwood Bay, Lower Flat Office Space Front, Belize City, Belize). Scope Markets Ltd is regulated by the Financial Services Commission of Belize (FSC) under license numbers 000274/325 000274/324.

At SM-INVEST we aim to provide prompt, courteous, helpful, and informative advice in response to every approach made by a member of public. We are always keen to hear the views of our customers, particularly the general public, about our performance generally.

We recognise that, as in all organisations, from time to time things can go wrong and we may not provide the standard of service that we have set ourselves. We are especially keen to hear about such instances, since they provide us with an opportunity to put things right and to learn.

Accordingly, as part of our commitment to providing the best possible service to our clients, we uphold effective and transparent procedures for prompt complaint handling for existing and potential clients, we maintain records of complaints and measures taken for complaint resolution, in line with Applicable Laws, Rule and/or Regulations and we are pleased to operate in accordance with the complaint management procedures of the Financial Services Commission Belize ("FSC").

Queries and Disputes

Queries or disputes can be received via phone, letter, email or by any other form of communication. You must tell us as soon as possible about any dispute – the sooner you inform us, the easier it will be to resolve the matter. In the first instance, you should try to resolve your dispute through the usual customer service channels, as they are able to resolve the vast majority of disputes and very often issues arise as a result of misunderstandings and can be easily resolved.

You will be asked to provide full details of your issue (for example the date and time of the disputed trade). The more information you can provide, the easier it will be to resolve the matter. Customer services will endeavour to resolve all such matters as soon as possible but in any event within two business days.

If our customer services team is unable to resolve the matter or you feel that our service has not met your expectations and you wish to make a formal complaint, you may then refer it as a complaint to our Complaints Department. Their role is to independently review all complaints constructively and sympathetically, ensuring that where we are at fault, things are put right at the earliest opportunity.

Submitting a Complaint:

You may submit your complaint by submitting the Complaint Form (please refer to Appendix 1) in writing and address it to the following email address : customerservice@sminvest.com

- 1) If you do not feel that your complaint has been resolved satisfactorily, you may then

refer your complaint to FSC. Please see below the relevant contact details:

Address: Sir Edney Cain Building, 2nd Floor, Belmopan, Belize, C.A

Email: Complaints: info@ifsc.gov.bz

Website: www.ifsc.gov.bz

Acknowledging your Complaint:

We will acknowledge receipt of your complaint within twenty-four hours (24) from the receipt of your complaint and provide you the unique reference number of your complaint. The unique reference number should be used in all your future contact with the Company.

Appendix 1- Complaints Form:

This is the form you need to fill in if you wish to submit your complaint to SM-Invest (the “Company”). Complete, up to date as well as accurate information is required to be provided to the Company for the proper investigation and evaluation of your complaint.

Please note that the below Complaint Form is only indicative and not exhaustive.

The Company may request further information and/or clarifications and/or evidence as regards your complaint.

CLIENT INFORMATION

DATE:	
Name:	
Surname:	
ID or Passport Number:	
Country of nationality:	
Legal Entity Name (in case the Client is a legal person):	
Account Trading Number:	

CONTACT DETAILS OF THE CLIENT

Postal Address:	
City/Province:	
Code:	
Country:	
Telephone Number:	
Email:	

DETAILS OF THE COMPLAINT

Date when the Complaint was created:	
Employee who offered the services to the Client (if applicable):	
Description of the Complaint:	

I hereby certify and confirm that to the best of my knowledge, the information furnished above is true, accurate, correct and complete.

FOR OFFICIAL USE ONLY

Received on:

Received by:

Assigned to:

To reply by: