

ATHLOS CAPITAL

COMPLAINTS HANDLING POLICY

Regulated:
Version:

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1 VERSION CONTROL

Policy Owner	Athlos Capital Investment Services Ltd		
Created On	December 2017		
Date of approval by the Board of Directors	November 21, 2022		
Review date	Reviewed By	Comments/Suggestions	Date of approval
20/12/2017 (V.01/2017/12)	Compliance Function	Development of the first draft of the Complaints Handling Policy	16/01/2018
28/02/2018 (V.01/2018/02)	Compliance Function	Updated in order to be uploaded on the website	04/09/2018
13/09/2019 (V.01/2019/09)	Compliance Function	Updated as per Circular C338	30/09/2019
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03/11/2021 (V. 01/2021/11)	Compliance Function	Policy amended due to the appointment of a Tied Agent	05/11/2021
16/11/2022 (V.01/2022/11)	Compliance Function	Updated to include the new address details of the Company	21/11/2022
08/10/2024 (V.01/2024/10)	Compliance Function	Updated to include the new template of the Company	N/A



2 INTRODUCTION

2.1 Scope and Purpose

- 2.1.1 The Complaints Handling Policy (herein the “Policy”) applies to complaints received from the Company’s Clients in respect to one or more of the Investment Services and Activities which the Company is authorised to provide.
- 2.1.2 The purpose of the Policy is to outline the complaints resolution process and procedure followed by the Company and to ensure that any complaints received by any of the Company’s Clients are dealt with and resolved in a fair and timely manner.
- 2.1.3 The Company shall treat all complaints with confidentiality and shall take all reasonable steps to investigate and respond promptly to any complaints. The Company shall use its best endeavours to provide the best service to its Clients.

2.2 Definition of a “complaint”

- 2.2.1 A complaint is defined as an expression of dissatisfaction addressed to the Company by a Client relating to the provision of any of the investment service and activities which the Company is authorised to provide and perform.
- 2.2.2 A complainant is any natural or legal person who is presumed to be eligible to have a complaint against the Company with respect to the provision of the investment services and activities and/or has already lodged a complaint.
- 2.2.3 A complaint received by a Client must include the following:
 - a) The Client’s name and surname;
 - b) The Client’s trading account number;
 - c) The affected transaction numbers, if applicable;
 - d) The date that the issue arose and a description of the issue.
- 2.2.4 The complaint must not include any offensive language directed either to the Company or an employee.

3 COMPLAINTS HANDLING

3.1 Procedure

- 3.1.1 All complaints must be in writing and must contain the information detailed in paragraph 2.2.3 of the Policy. A complainant may submit a complaint against the Company in any of the following forms:
 - a) By electronic mail at compliance@athloscapital.com;
 - b) By post at the registered address of the Company, 17 Stasinou Avenue, Bedizia Tower, 6th & 7th Floor, 1060 Nicosia, Cyprus.
- 3.1.2 A complainant may address a complaint directly to a member of staff which the Client is dealing with; the Client must ensure the complaint contains the information detailed in paragraph 2.2.3 of the Policy.
- 3.1.3 Where a complainant submits a complaint directly to the Company’s appointed tied agent, the tied agent will be required to contact the Compliance Officer within 24 hours of receipt of the complaint. Where appropriate and possible the tied agent shall submit a full and detailed report with any supporting documents relating to the complaint within 5 (five) days of receiving the complaint. The tied agent shall take no further action in relation to the handling of any complaint, this will remain the responsibility of the Company and the Compliance Officer. In the event that the Company considers that action needs to be taken on behalf of the tied agent, the tied agent shall take reasonable steps to amend his procedures to avoid the occurrence of similar complaints in the future.
- 3.1.4 Upon receiving a complaint, the Compliance Officer will provide the complainant with a written acknowledgement of the complaint within 5 (five) Business Days. The acknowledgement will include a unique reference number, which shall correspond solely to the complainant’s complaint and it must be used throughout the correspondence with the Company and if applicable the Financial Ombudsman and/or CySEC regarding the specific complaint.



- 3.1.5 The Compliance Officer shall investigate the complaint and the details presented by the complainant thereof and shall reply to the complainant within 2 (months) from the date of reception of the complaint.
- 3.1.6 Upon the completion of the investigation conducted by the Compliance Officer with respect to a complaint, the Compliance Officer shall send a written response to the complainant informing him of the following:
- a) The outcome of the investigation along with the reasons for reach such a decision; or
 - b) If applicable, the nature and terms of any offer and/or settlement.
- 3.1.7 If the Compliance Officer is unable to conclude its investigation and/or respond to the complainant within 2 (two) months from the date of receipt of the complaint, the Compliance Officer shall send a written notice to the complainant, informing him of the reasons for the delay and indicating the period of time within it is possible to complete its investigation. It is noted that the period of time cannot exceed 3 (three) months from the submission of the complaint to CySEC.
- 3.1.8 The Client reserves the right to take any legal action; such a right remains unaffected by the existence and/or use of any complaints procedure referred to above.
- 3.1.9 If the complainant is not fully satisfied with the Compliance Officer's response on the matter he may refer his complaint, along with the unique reference number and a copy of the Compliance Officer's final response to CySEC and if necessary to the Financial Ombudsman, within a period of 6 (six) months for further investigation.
- 3.1.10 In the case of a complaint being resolved in favour of the Client, the Company shall promptly ensure for the full and appropriate level of redress to be offered to the Client without any delay.

3.2 Submission of information to CySEC

- 3.2.1 The Compliance Officer of the Company shall be responsible for providing information regarding the complaints received and how these have been handled by the Company to CySEC on a monthly basis (as per the specified form communicated by CySEC from time to time), irrespective of whether the Company has received any complaints in a given month. The form must be sent to CySEC within 5 days after the end of the reporting month.

3.3 Record Keeping

- 3.3.1 The Company is required to establish, maintain and update the Complaints Register with details of all the complaints received per month for a period of 5 (five) years. The following information is recorded in the Complaints Register:
- a) Date of the complaint;
 - b) Personal account number;
 - c) Identification number of the complainant;
 - d) The unique reference number of the complaint (which it has communicated to the complainant);
 - e) Complaint cause;
 - f) The Financial Instrument;
 - g) The disputed amount;
 - h) The settlement date, if applicable, and
 - i) Any comments thereof.

3.4 Contact Details

- 3.4.1 More information can be found in the following links:
- CySEC: www.cysec.gov.cy.
 - Financial Ombudsman www.financialombudsman.gov.cy.

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