



# Complaints Handling Policy

PU Prime Financial Services LLC

---

**Licensed Activity:** Capital Market Authority (CMA) Category 5 (Introduction and Promotion)

**Licence No.:** 20200000388

**Email:** [info@puprime.ae](mailto:info@puprime.ae)

**Web:** [www.puprime.ae](http://www.puprime.ae)

**Address:** The Prime Tower, Office No. 1209, Business Bay, Plot No. 68-0, Makani No. 25836 86879, Dubai, UAE

## 1. INTRODUCTION

PU Prime Financial Services L.L.C. (“**PUPFS**” or the “**Company**”) is licensed by the Capital Market Authority (“**CMA**”) of the United Arab Emirates to conduct Category 5 regulated activities of Introduction and Promotion under License No. 20200000388. Its registered office is located at The Prime Tower, Office No. 1209, Business Bay, Plot No. 68-0, Makani No. 25836 86879, Dubai, UAE.

## 2. INTERPRETATION OF TERMS

Unless indicated to the contrary, the terms included in this Policy shall have a specific meaning and may be used in the singular or plural as appropriate.

Client: means the ‘Client’ as defined in the Client Referral Agreement available online at [www.puprime.ae](http://www.puprime.ae).

## 3. SCOPE OF THE COMPLAINTS HANDLING PROCEDURE

The Complaints Handling Procedure (the “**Procedure**”) sets out the processes employed when dealing with complaints received by PUPFS from Clients.

All complaints must be in writing and may be addressed, in the first instance, to the Customer Support Department ([info@puprime.ae](mailto:info@puprime.ae)). If the Client receives a response from the Customer Support Department but wishes to escalate the matter further to the Compliance Department for consideration, the Client may request for the Customer Support Department to assist with such escalation. The Compliance Department shall then carry out an independent and impartial assessment of the complaint.

Alternatively, the Client may directly contact the Compliance Department ([compliance.@puprime.ae](mailto:compliance.@puprime.ae)) in writing with his complaint.

Please note that the complaint should include the following details at a minimum:

- Full Name
- E-mail address submitted to PUPFS for purposes of registration

Both the Customer Support Department and the Compliance Department shall thoroughly examine any complaints as required (taking into account any information contained within the books and records of PUPFS to reach a fair outcome.

The Customer Support Department (or the Compliance Department, if the Client contacts the Compliance Department directly in the first instance) shall send an acknowledgement letter to the Client within 7 working days to acknowledge receipt of the complaint and confirm that PUPFS shall endeavor to address the situation within 30 working days. In the course of investigating the complaint, PUPFS may request the Client to provide such additional information, documentation, or evidence as may be reasonably necessary to enable a thorough investigation and verification of the issues raised. The Client is expected to cooperate in good faith with such requests to facilitate an efficient and timely resolution of the complaint.

Should it be impossible to conclude the relevant investigation within 30 working days, the Compliance Department shall inform the Client in writing accordingly by the end of this 30-working day period, with reasons for the delay and request for a further extension of time (which shall not exceed 30 working days).

All complaints shall be treated confidentially. Once the complaint is investigated, the Client shall be advised of the outcome as soon as possible. If a substantive response to the complaint has been provided to the Client, PUPFS shall be entitled to treat the complaint as settled and resolved following

the expiry of ten (10) working days from the date of response, in the absence of an indication from the Client that he is unsatisfied with the response.

#### **FAQs**

Questions regarding this Procedure should be addressed, in the first instance, to the Customer Support Department via e-mail ([info@puprime.ae](mailto:info@puprime.ae)).