Optima Asset .LLC →

Complaints Handling Procedure

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1. SCOPE

1.1. The Complaint Handling Procedure (the '**Procedure**') sets out the process adopted by Optima Asset Financial Services LLC. (referred to as '**Optima Asset**' or the '**Firm**') for the reasonable and prompt handling of complaints, disputes, or grievances received from Clients (referred to as the '**Client**', the '**Complainant'**, '**you**', '**your**' and '**yourself**').

1.2. For any capitalised term, which has not been defined in the Policy, please refer to Schedule A ('Glossary') of the 'Client Agreement'.

2. QUERIES

2.1. If you are dissatisfied with our services, or if you have a query regarding your account or activity with us, you may contact the Customer Support Department via live chat, e-mail or telephone. Our Customer Support Department will determine if your query can be resolved immediately or if it will require further investigation; if your query cannot be resolved immediately, we remain committed in addressing and/or resolving it in a prompt manner (usually within 48 business hours).

2.2. If you are not satisfied with the response to the query or grievance you received, then you may raise this further with the Compliance Department following the process indicated in the 'Official Complaints' section.

3. OFFICIAL COMPLAINTS

3.1. An official complaint means a statement of dissatisfaction relating to the provision of investment services, addressed by a Complainant to the Compliance Department, as indicated in the Procedure.

3.2. A complaint **must** include: (i) the Client's name and surname, (ii) the Client's Account number, (iii) the affected transaction number(s), if applicable, (iv) the date and time that the issue arose, and (v) an accurate description of the issue.

3.3. Complaints need to be sent by e-mail (support@optimaasset.co) to the Compliance Department.

3.4. Complaints communicated to the Compliance Department must be received from the registered e-mail of the Client or the Client's Appointed Representative as soon as possible after the subject matter of the complaint arose.

3.5. We will confirm to the Complainant, within five (5) days, the receipt of the complaint and we will provide you with a unique reference number.

3.6. We will investigate the complaint and reply, within one (1) week, to the Complainant about the outcome/ decision.

3.7. In the unlikely event we are unable to respond within one (1) week, it informed the complainant of the reasons for the delay and indicates the period of time within it is possible to complete the investigation; this period of time cannot exceed two (2) weeks from the submission of the complaint.

5. MONITORING OF COMPLAINTS

5.1. Optima Asset, as a regulated entity, is required to keep records of all the received complaints. For this reason, we maintain an internal register of complaints where all relevant information and the progress of each complaint is kept.

5.2. The Company submits information about all the received complaints to SEC on a monthly basis.

6. RECORD KEEPING

6.1. All the documentation and/or information related to the Complaint shall be kept for a period of at least four (4) months, calculated on the day of the closure of the Complaint.

7. REVIEW OF THE PROCEDURE

7.1. The Company will perform a periodical review of this Policy at least on an annual basis. The Company's Compliance Officer is responsible for keeping this Policy updated, and in line with all the relevant laws and regulations.

Optima Asset Financial Services LLC

- Incorporated in the United States Registration no. 299826 Authorised and regulated by the

United States Securities and Exchange Commission Licence no. 801-115262.

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