At Luna Wealth Asset Management Ltd (hereinafter: "**LWAM**" or "**the Company**"), we aim to provide a high standard of investment services to serve the Client's interests in the best possible way. We understand that despite our best efforts there may be instances where a Client may not be entirely satisfied. In such cases, every effort will be made to resolve any outstanding issues in a fair and speedy way. This document outlines our procedure for the submission and handling of complaints.

Procedure

A complaint shall include:

- Complainants Full Name
- Event Date (date and time the issue arose)
- Complaint Date
- Complainants Identification (Passport or ID)
- Client Number (if applicable)
- Complainants E-mail
- Complainants Telephone Number
- Complainants Country of Residence
- Complaint Cause (pre-selected categories defined in the legislation)
- Financial Instrument (pre-selected categories defined in the legislation)
- Disputed Amount
- Transaction Number (if applicable)
- Description of the Issue

All complaints shall be treated confidentially. The complaint form found below and should be completed and submitted to compliance@lunawealth.com in order for the complaint handling process to be initiated.

The Compliance Officer of the Company will acknowledge receipt of your complaint within five (5) days and provide you with a unique reference number related to your complaint. This unique reference number should be quoted in any future communication in relation to this complaint with the Company, the CySEC and the Financial Ombudsman. Every effort will be made to conclude the investigation and respond to the complaint within four (4) weeks of the acknowledgement of the complaint.

If the Company requires more information from the complainant, a written response to such effect will be sent to the complainant and the four (4) weeks period will recommence after the client's response is received by the Company.

In case the Compliance Officer's investigation into your complaint is not concluded within four (4) weeks following the submission of your complaint, the Compliance Officer shall inform you in writing on the investigation's progress and shall continue to do so periodically until the complaint is resolved.

All complaints should be resolved within eight (8) weeks of receipt of the complaint. However, if a resolution is impossible within this timeframe, a letter will be sent to the complainant eight (8) weeks after the receipt of the formal complaint explaining why the resolution was not possible and setting out the procedure envisaged to be followed thereafter. In accordance with the CySEC's Circular C338, the whole complaint resolution procedure cannot exceed three (3) months from the submission of the complaint.

In case you are not satisfied with the outcome of the investigation into your complaint and wish to further proceed with your complaint you are encouraged to submit your complaint, with a copy of the Company's final response, to the Financial Ombudsman of the Republic or the Cyprus Securities and Exchange Commission (CySEC).

Financial Ombudsman of the Republic	**Cyprus Securities and Exchange Commission**
Address: 15 Kypranoros Street, 1061 Nicosia Phone: +357 22848900 (main number) Fax: +357 22660584, +357 22660118 E-mail: complaints@financialombudsman.gov.cy Website: http://www.financialombudsman.gov.cy	Address: 19 Diagorou Street, 1097 Nicosia Phone: +357 22506600 Fax: +357 22506700 E-mail: info@cysec.gov.cy Website: http://www.cysec.gov.cy/en-GB/home/

Client Details:

Name:		Surname:	
Client ID:		Account No:	
Identification Doc:		Country of Issue:	
E-mail:		Telephone:	
Disputed Amount:		Transaction Number:	
Date:		Date of Complaint's Event:	

Type of Financial Instruments:

Please select one of the below:

Shares / Stocks / Equities

Bonds / Debentures / Loan Stocks / Debt Securities

Structured Securities (including securities with capital protection and structured funds)

Money-Market Securities

Mutual Funds / UCITS (excluding structured funds)

Options, Futures, Swaps, Warrants, Forward Rate Agreements, and other derivatives

Other Investment Products (Please specify: _____)

Complaint Cause:

Please select one of the below:

Execution of orders (i.e. delay in execution, slippage, erroneous trades etc)

Investment Advice (i.e. unsuitable advice)

Portfolio Management

Quality or lack of information provided to the Client

Terms of contract / fees / charges

General Admin / Customer Service (including custody / safekeeping services)

Unauthorised business being offered or carried out

Issue in relation to Client's withdrawal of funds

Description of Complaint:

Signature:

Name and Surname: Date: