

COMPLAINTS HANDLING POLICY

EQUITI CAPITAL UK LIMITED

Updated: September 2020

Equiti Capital endeavors to offer its customers the highest standard of service in all aspects of its business. However, in the unlikely event of you having any reasons where our service do not meet your satisfaction, in the first instance, please contact our Brokerage Support team at brokeragesupport@equiti.com who will do their best to resolve any issues you may have.

Whilst we aim to resolve your issue within 24 hours, this may not always be possible. Thereafter, your complaint should be resolved within three (3) business days.

If our Brokerage Support Team is unable to resolve your issue by the end of the third business day, or where you continue to be dissatisfied with our resolution, you may then refer your complaint to our Compliance Department either via email or by post.

Email: compliance@equiticapital.co.uk

Post:
Compliance Department
Equiti Capital UK Limited
69 Wilson Street,
London
EC2A 2BB
United Kingdom

Complaints Procedure

When referring your complaint to the Compliance Department, please clearly detail all the relevant information and provide any supporting evidence that you think may assist the Compliance Team in resolving your complaint promptly.

Upon receipt, your complaint will be forwarded to relevant staff who will investigate and assess your complaint diligently, fairly and promptly. We may also write to you should we need further information.

We will inform you of the progress made in dealing with your complaint and we would normally expect to finalise this within four (4) weeks.

If we are unable to resolve your complaint within eight (8) weeks of receiving the complaint, we will contact you in writing to explain why we are not in a position to issue a final response to your complaint and provide an indication of when we expect to be able to provide one. Otherwise, we will provide a final response to your complaint.

Where we consider that you are entitled to some redress and believe that we have fully addressed your complaint, we will include details of this within the letter.

Where redress is agreed by us, unless you reject our offer, we will provide this within 4 weeks of our final response.

If you are still not satisfied

Should you remain dissatisfied with our final response, in some instances you may have the right to have your complaint reviewed independently by the UK Financial Ombudsman Service ("FOS").

The FOS acts as an impartial adjudicator in the resolution of disputes with financial firms and the service is free of charge.

The contact details for the FOS are as follows:

The Financial Ombudsman Service

Exchange Tower
London,
E14 9SR

Telephone: 0800 023 4567 or 0300 123 9123

Email: complaint.info@financial-ombudsman.org.uk

Website: www.financial-ombudsman.org.uk

Please note that the FOS can only consider your complaint if:

- We have sent you a final response with which you remain dissatisfied; and
- You refer the complaint to the FOS within six months of the date of our final response to you; and
- You are an eligible complainant.

An eligible complainant is defined as:

- ✓ A consumer;
- ✓ A micro enterprise;
- ✓ A charity which has an annual income of less than £6,500,000 at the time the complainant refers the complaint to the respondent;
- ✓ A trustee which has a net asset value of less than £5,000,000 at the time the complainant refers the complaint to the respondent;
- ✓ A guarantor only to the extent that the complaint arises from matters relevant to the relationship with the respondent;
- ✓ A CBTL consumer;
- ✓ A small business at the time the complainant refers the complaint to the respondent.

For additional information about the FOS and if you qualify as an eligible complainant, please visit:

<http://www.financial-ombudsman.org.uk>

<https://www.handbook.fca.org.uk/handbook/DISP/2/7.html>