

## COMPLAINTS HANDLING POLICY

### EQUITI CAPITAL UK LIMITED

Effective: May 2023

Equiti Capital UK Limited ("Equiti UK" or the "Firm") endeavors to offer its customers the highest standard of service in all aspects of its business. However, in the event that you are not satisfied with our services do not meet your satisfaction, in the first instance, please contact our Brokerage Support team by email at [BrokerageSupport@equiti.com](mailto:BrokerageSupport@equiti.com) who will do their best to resolve any issues you may have.

Upon receipt of your complaint, we will issue a prompt written acknowledgement to you that your complaint has been received and is being dealt with.

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 following the day of receipt in which case we will inform you of our position on the complaint, and any options that you may have.

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 escalate your complaint to our Compliance Department either via email or by post, free of charge.

Email: [compliance@equiticapital.co.uk](mailto:compliance@equiticapital.co.uk)

Post: **Compliance Department**

Equiti Capital UK Limited, 2 London Wall Place, London EC2Y 5AU, 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, impartially 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, where your complaint will be dealt with, at the latest, within eight (8) weeks of date of receipt.

However, if we are unable to resolve your complaint within eight (8) weeks, 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.

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

We will provide this redress to you within four (4) weeks of our final response. If you are not satisfied with our final response or the redress that we consider is appropriate to address your complaint, you do not have to accept the final response or the redress that we offer.

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 is an impartial and independent organization formed to help settle individual disputes between eligible complainants and financial services businesses free of charge.

The contact details for the FOS are as follows:

**The Financial Ombudsman Service**

Exchange Tower, London, E14 9SR, United Kingdom.

**Telephone:** 0800 023 4567 or +44 20 7964 0500 if you are calling from outside the UK.

**Email:** [complaint.info@financial-ombudsman.org.uk](mailto:complaint.info@financial-ombudsman.org.uk)

**Website:** [www.financial-ombudsman.org.uk](http://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; or
- ✓ 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 are an eligible complainant, please visit:

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

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