

## Complaints Procedure

At ADS Securities London Limited, we are committed to providing you with the best customer experience we can, however we realise that we may not always live up to your expectations. If you have a concern about any aspect of our service, we will work with you to resolve the matter as quickly and as effectively as possible.

Most issues you have will arise through a misunderstanding or simple error, so please contact us immediately to discuss any query. If you wish to raise a complaint, then please contact us preferably by email ([complaints@ads-securities.co.uk](mailto:complaints@ads-securities.co.uk)) or by telephone on +44(0)203 771 5453. Alternatively you can send a copy of your complaint to: ADS Securities London Limited, 9th Floor, 125 Old Broad Street, London, EC2N 1AR.

We will aim to resolve your concern at the first point of contact, within three business days following receipt of the complaint.

To help us investigate and resolve your complaint as quickly as possible and with minimum inconvenience to you, please make sure you give us as much information as possible, including:

- Your name, client account number and contact details
- A clear description of your complaint
- Copies of any relevant documents
- Details of what you would like us to do to put it right

If we are unable to resolve the issue within three business days following receipt of your complaint, it will be escalated and you will receive written acknowledgement to confirm who will handle your complaint, and how you can contact them.

Although we will always provide a response in a prompt manner and will aim to keep you informed of any progress in the investigation process, your complaint will be, at the latest, dealt with within 8 weeks from the date of receipt. Should we be unable to provide our final response within this time, we will notify you to explain why this is the case.

Our 'final response' once issued, will explain the outcome of our investigation. If you are an eligible complainant and are still not satisfied, you can request a review from the Financial Ombudsman Service, which has been established to review eligible complaints that firms are unable to resolve. Any reference to the Financial Ombudsman Service must take place within six months of our 'final response', and please also note that this must have been issued before the Ombudsman will consider your complaint.

If you have not already received a copy of the Financial Ombudsman Service explanatory leaflet "Your Complaint and the Ombudsman", a copy will be sent out with our final response.

The contact details of the Financial Ombudsman Service is:

Financial Ombudsman Service  
Exchange Tower  
London E14 9SR

Website: <http://www.financial-ombudsman.org.uk/>  
Phone number: +44(0)800 023 4567

July 2016