

COMPLAINTS HANDLING POLICY (EXTERNAL)

Version Number	Reason for Update	Date of Release	Amended By
1.0	Initial publication of document	08-Jan-20	AH

QUERIES AND COMPLAINTS

We are committed to providing a high-quality service to all our clients, and always welcome questions or and suggestions. And if something goes wrong, we need you to tell us about it.

If you have a query, please raise it with your normal contact at Basis.

If you have cause to complain, we will endeavour to resolve any concerns fairly, effectively and promptly. Please contact us with the details and any supporting documents.

- We will send you a written acknowledgement of your complaint within three business days of receipt. We will try and resolve your complaint within a timely manner. Where this is not possible and for more complex complaints which require further investigation. We will aim to send you full resolution of your complaint within 10 days of receipt.
- If we are unable to resolve your complaint within that time, we will send you a letter explaining why we are not in a position to resolve your complaint and an indication of when we will make further contact; and
- If your complaint has still not been resolved within four weeks of receipt, we will send you:
 - A letter explaining why we have still not resolved your complaint with an indication of when you will hear further details from us, and
 - Details of your right to refer your complaint to the Financial Ombudsman Service.

BASIS CONTACT DETAILS

In order to make a complaint to please contact us using one of the following methods:

By Email:

compliance@basiscap.com

By Post:

Head of Compliance
Basis Capital Markets UK Ltd.
Scott House, Waterloo Station
London
SE1 7LY
United Kingdom

THE FINANCIAL OMBUDSMAN SERVICE

The Ombudsman can only consider a case when Basis' complaints procedure has been exhausted, and provided you refer your case within six months of our final response.

If more than eight weeks from the date of your complaint has passed, or you are dissatisfied with the final response you have received, and, if you are an [eligible complainant](#), you can refer your complaint to:

The Financial Ombudsman Service, Exchange Tower, London, E14 9SR, United Kingdom.

Telephone number: 0800 023 4567; E-mail: complaint.info@financial-ombudsman.org.uk;

Website: www.financial-ombudsman.org.uk.

The Financial Ombudsman Service provides a free, independent and unbiased assessment of complaints referred to it. We generally regard the Ombudsman's findings as binding. You are, however, still able to take private legal action if you do not agree with the Ombudsman's conclusion.
