

COMPLAINTS HANDLING POLICY

Version	Reason for Update	Date	By
1.0	New document	08-Jan-20	AH
1.1	Annual Review	28-Apr-21	AH
1.2	Annual Review and Updates throughout the document	18-Nov-22	AH
1.3	Annual Review	15-Nov-23	AH

QUERIES AND COMPLAINTS

Basis Capital Markets UK Ltd. (“Basis” or “the Firm”) is 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 regular 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 promptly. Where this is not possible and for more complex complaints which require further investigation. We will aim to send you the full resolution of your complaint within ten 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 able to resolve your complaint and an indication of when we will make further contact; and
- If your complaint is still 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.

CONTACT DETAILS

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

- By Email: compliance@basiscap.com
- By Post: Basis Capital Markets UK Ltd., 70 Pall Mall, London, SW1Y 5JG, United Kingdom

THE FINANCIAL OMBUDSMAN SERVICE

Consumer protections may cover some, but not all, products provided by Basis. Basis does not have [Regulation 56 registration](#) but may offer certain cash settled (non-deliverable) products linked to cryptoassets. However, Cryptoassets are not covered by consumer protections and are not protected by financial compensation schemes. Therefore, when purchasing, selling and holding cryptoassets, you will not have access to the Financial Ombudsman Service (FOS) or the Financial Services Compensation Scheme (FSCS).

For products covered, 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:

Address: 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.