

## Complaints Handling Procedure

CCBI Global Markets (UK) Limited ("**CCBIUK**" or the "**Company**") aims to handle all client or potential client complaints promptly and fairly.

If you need to raise a complaint concerning our services, please complete the attached complaint and send it for the attention of the Compliance Officer at the following address:

CCBI Global Markets (UK) Limited (CCBIUK)  
4th Floor  
111 Old Broad Street London  
EC2N 1AP

or

Email the form to: [cabiuk\\_compliance@ccbintl.com](mailto:cabiuk_compliance@ccbintl.com)

Alternatively you may contact us by phone on:

+44 (0) 20 3878 8010

We will endeavour to confirm receipt of your complaint within 24 hours.

### Acknowledgement

We will aim to resolve your complaint as soon as possible and if we are able to do so within three business days, we will send you a letter to confirm this.

More complex cases may take longer to investigate. When this is the case, we will send you an acknowledgement letter within 3 business days. This letter will detail the complaint handling procedure and provide approximate timelines and expectations for the investigation and future responses.

### Investigation of your complaint

We will seek to carry out our investigation in a competent, diligent and impartial manner.

We may contact you for further information if required and provide you with regular updates on our progress. You may contact us at any stage during this process.

**Decision Letter (Final Response)**

After the complaint has been investigated in full we will send you a final response letter within 8 weeks of the initial complaint being raised. This letter will detail the findings of our investigation and any remedial action to be taken. It will also include your options as to whether the complaint can be referred to an alternative dispute resolution entity if you are not satisfied with our conclusion.

**Complaints Handling Form**

<b>CUSTOMER DETAILS:</b>			
NAME:		ADDRESS:	
TEL/MOB:		EMAIL:	
ACCOUNT NO:		REF:	
<b>COMPLAINT DETAILS:</b>			
DATE/TIME COMPLAINT SUBMITTED:			
DATE/TIME OF INCIDENT:			
NATURE OF COMPLAINT:			
SYSTEM/EMPLOYEE/PROCESS INVOLVED IN COMPLAINT:			
DESIRED OUTCOME:			
HOW CAN WE IMPROVE OUR SERVICE?			

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OFFICE USE ONLY:	
<i>Notes</i>	