

Customer Complaints Handling Procedure

The purpose of this document is to outline the Complaint Handling Procedure for Platform Securities LLP in compliance with the rules of the Financial Conduct Authority (FCA).

Policy Statement

Platform Securities LLP has a positive attitude toward complaints and believes that its future depends on its ability to retain customers and ensure continued satisfaction.

All customers who complain are giving us a valuable insight into our business and have a right to have their issues thoroughly investigated.

Every complaint is acceptable, should be dealt with promptly and professionally, and presents an opportunity for us to improve.

Definition of a Complaint

The FCA has provided a common definition of a complaint, as follows; Any oral or written expression of dissatisfaction, whether justified or not, from, or on behalf of, a person about the provision of, or failure to provide, a financial service or a redress determination, which alleges that the complainant has suffered (or may suffer) financial loss, material distress or material inconvenience.

Receiving Complaints

If you have a complaint, please contact us on 0121 233 0336 or write to us;

Complaints Management Function
Compliance & Risk Team
Platform Securities FIS
Tricorn House
51 - 53 Hagley Road
Edgbaston
Birmingham B16 8TP

Responding to Complaints

We will try to resolve the complaint as quickly as possible, and with the minimum of inconvenience to you. If we are unable to

resolve your complaint immediately we will promptly send an acknowledgement of your complaint in writing. The acknowledgement will confirm who will handle your complaint and how you can contact them.

We will endeavour to keep you informed of the progress of the measures being taken in order to resolve your complaint. At the end of eight weeks we will endeavour to provide you with a final response, this will provide you with a decision regarding your complaint and where appropriate, may offer redress or remedial action. In the event that we are not yet able to resolve your complaint we will send you a written update explaining why we are not yet in a position to resolve the complaint, and when we expect to resolve your complaint.

We will also advise you of your rights to refer the complaint to the Financial Ombudsman Service and enclose a copy of the Financial Ombudsman Service standard explanatory leaflet.

Financial Ombudsman Service

The Financial Ombudsman Service (www.financial-ombudsman.org.uk) helps to settle individual disputes between consumers and financial firms when they are not able to come to satisfactory solution themselves. It is a completely independent service, which is free of charge to consumers.

We are obliged to inform you, at the time of sending our final response, or where we have failed to resolve your complaint within eight weeks since your complaint was received, of your right to refer your complaint to the Financial Ombudsman Service if you remain dissatisfied with the way your complaint was handled. Your complaint must be referred to the Ombudsman within six months of receiving our 'final response'.