

COMPLAINTS HANDLING PROCEDURE

Alaric Securities (UK) Ltd endeavours to provide clients with the highest level of service at all times. We do recognise however, that occasionally there may be circumstances where you are dissatisfied with the service that you receive from us and wish to raise a complaint.

Whilst we hope to be able to resolve any issues that you might have immediately and without the need for written recourse, if this is not possible, we will act on your formal complaint in the following way.

1. Making a Complaint

Normally, complaints arise from misunderstandings and most can be resolved quickly and easily. In the first instance we ask that you please contact your Client Relationship Manager.

If after speaking to your Client Relationship Manager you are still dissatisfied and would like to escalate your complaint to our Compliance Team, who will investigate the nature of your complaint to try to resolve it in accordance with this procedure.

To help us investigate and resolve your complaint as quickly as possible, please provide the following information:

- Your name, your company name and address;
- A clear description of your concern or complaint;
- Details of what you would like us to do to put it right;
- Copies of any relevant correspondence, such as emails; and
- A daytime telephone number where we can contact you.

2. Contacts

You can contact us in the following ways:

- **By post** addressed to Alaric Securities (UK) Ltd, Compliance Department, Innovation, 11, Watermill Wharf, Rochester, Kent ME2 4DT
- **By email** to compliance@alaricsecurities.co.uk

3. Keeping you informed

Our Compliance Team will endeavour to keep you informed of progress on the resolution of your complaint. However, if we are unable to resolve the problem in a timely manner, we will contact you to explain the delay and keep you fully informed as to when we expect to resolve the problem.

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Alaric Securities (UK) Ltd is authorised and regulated in the UK by the Financial Conduct Authority (firm reference number 783168) and is a company registered in England and Wales (company number 10204731). The Firm's registered address is One Fleet Place, London EC4M 7WS and its principal place of business, Innovation, 11, Watermill Wharf, Canal Road, Rochester, Kent, ME2 4DT.