



# | **Complaints Handling Procedure**

## Complaints Handling Procedure

If you are dissatisfied with any of our services, you can raise a complaint directly to us.

### Definition of a complaint

A complaint is defined as: "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."

### How to raise a complaint?

1. All complaints must be raised in writing, and shall be addressed, in the first instance, to the Client Services Team at [clientservices@icmcapital.co.uk](mailto:clientservices@icmcapital.co.uk)
2. A written complaint shall include the following details:
  - Client's full name;
  - Client account number;
  - Date and time of the incident; and
  - A description of the incident/complaint

### How we deal with a complaint

1. We will acknowledge your complaint within 48 hours of receipt.
2. We will thoroughly investigate the complaint using all relevant information available to us.
3. In the first instance, the complaint will be handled by one of our representatives in the Client Services Team, however if you are unhappy with their initial response, then the matter will be referred to a senior member in the Compliance Department.
4. A further investigation will be conducted by the Compliance Department, and following on from this you will be issued with our Final Response letter outlining the findings and our decision.
5. We will aim to correct any mistakes on our part, and let you know of the outcome of our investigation.
6. We aim to resolve all complaints as quickly and efficiently as possible, however please note that the statutory timescales for providing you with a Final Response is within 8 weeks of receipt of your complaint.

## Financial Ombudsman Service

1. We are committed to resolving complaints through our Complaints Handling Procedure, however if you remain dissatisfied following our Final Response letter, then you can refer the case to the Financial Ombudsman Service (FOS). This is an independent organisation set up to resolve disputes between consumers and financial institutions such as ICM Capital.

2. You can directly contact FOS at the following:

Financial Ombudsman Service (FOS)

South Quay Plaza

183 Marsh Wall

E14 9SR, United Kingdom

T: +44 20 796 41000

<http://www.financial-ombudsman.org.uk/>

<http://www.financial-ombudsman.org.uk/help/languages.html>

You must refer your complaint to the Financial Ombudsman within 6 months of the date on the Final Response letter. An explanatory leaflet of the FOS will be provided with any final response provided by us or is available upon request.

### Contact Details

Questions regarding our Complaints Handling Procedure should be addressed to:

Head of Compliance

ICM Capital Limited,

New Broad Street House,

35 New Broad St, London

EC2M 1NH, United Kingdom

T: +44 207 634 9770

F: +44 207 516 9137

ICM Capital Limited is authorised and regulated by the Financial Conduct Authority (FCA) Register Number: 520965.

ICM Capital Limited is a wholly owned subsidiary of ICM Holding SARL, registered address: 121, Avenue De La Faiënerie, L-1511 Luxembourg.

ICM Capital Limited is a company registered in England and Wales, registered number: 07101360.

Registered address: ICM Capital Limited, New Broad Street House, 35 New Broad St, London EC2M 1NH, United Kingdom