



7 iSAM Securities

iSAM Securities (UK)
Limited

Complaint Summary Procedure

If you would like to make a complaint, you can do so by contacting iSAM Securities (UK) Limited via the following means:

In writing to: Mrs Katie Christensen
Compliance Officer
100 Bishopsgate, London, EC2N
4AG +44 207 258 8357

By phone: katie.christensen@isam.com

By email:

On receipt of your complaint, we will promptly send you a written acknowledgement that we have received the complaint and that we are dealing with it. We will assess whether we believe we will be able to resolve the matter to your satisfaction by close of business on the third business day. If we feel that we can investigate and resolve the matter fully within this timescale, then we will do so and provide you with a Summary Resolution in writing at the end of this period. The Summary Resolution will provide details of our conclusions from the investigation and any remedial actions we have or intend to take. We will ask you to confirm that you are satisfied with the conclusion we have reached and / or any remedial actions.

If you confirm that you are satisfied, we will close the complaint. If you confirm that you are not satisfied, the complaint will remain open and we will continue to seek a resolution. If you qualify as an "Eligible Complainant", you are free at this point to refer your complaint to the Financial Ombudsman Service (details of which are included below).

If after having reviewed your complaint, we believe that it wholly or partially involves another regulated firm then we will promptly forward your complaint (or the relevant section(s) of the complaint) to that firm and confirm in writing to you that we have done so. If part of the complaint refers to our services or products we will continue to deal with those sections under this procedure.

If your complaint is technical or complicated, we may feel that we are unable to confidently resolve this by close of business on the third business day. If this is the case we will promptly write to you confirming this and we will include the name of the person who will be managing your complaint and who will be providing you with updates on the progress. Within eight weeks of receiving your complaint we are required to issue you with a Final Response Letter that details our conclusions from the investigation and any remedial actions we have or intend to take.

In the unlikely event that we have been unable to conclude our investigations within the eight weeks' period we will confirm this in writing and provide you with an estimate of when we believe we will be able to issue a Final Response Letter.

At any time in the process, and provided that if you qualify as an "Eligible Complainant", you can decide to refer your complaint to the Financial Ombudsman Service, although it may be beneficial to wait for a Summary Resolution or Final Response Letter to be issued before doing so. If you wish to refer your

complaint to the Financial Ombudsman Service you can do so by contacting them via the following means:

Website: www.financial-ombudsman.org.uk

Phone: 0800 023 4 567 or 0300 123 9 123

Email: complaint.info@financial-ombudsman.org.uk

Write to: The Financial Ombudsman Service, Exchange Tower, London, E14 9SR



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www.isam-securities.com