

Capital Index (UK) Limited

Complaints Procedure

Capital Index are regulated by the Financial Conduct Authority (**FCA**). To ensure our compliance under their regulation we have established this complaints procedure for handling any complaints or queries you may have.

If you have a query or you are dissatisfied with the service you have received from us, your first point of contact should be our Client Services team via email clientservices@capitalindex.com or via telephone (+44 (0) 207 060 5120).

In order for us to investigate your case efficiently and as quickly as possible, we need as much information as possible, including your name and client reference number; a clear description of the issue; details of your request(s); and any additional relevant documentation, such as emails or screenshots.

Our Client Services team will endeavour to resolve your concern as quickly as possible. If you are happy with their proposed resolution of your case, we will regard your complaint as resolved and will provide you with a Summary Resolution Communication (**SRC**) by the third business day following the receipt of your complaint. The SRC will include the outcome of your complaint and will inform you of your right to escalate your complaint to the Financial Ombudsman Service (**FOS**).

If you are unhappy with the Client Service team's proposed resolution, all of the details relating to your complaint will be referred to our Compliance department by the fourth business day following receipt of your complaint. The Compliance department will:

- Promptly send a written acknowledgement to you via email
- Investigate your dispute competently, diligently and impartially
- Keep you informed of the progression of its investigation of your complaint
- Send a 'final response' within eight (8) weeks after the complaint was received with its findings and conclusions. The final response will confirm whether the complaint was upheld and whether or not any redress or remedial actions are proposed.

If you are an eligible complainant and (a) you have not received a final response within eight (8) weeks of making your complaint, or (b) you are not satisfied with the final response letter, **you have the right to refer your complaint to the FOS, free of charge.**

Further details of the FOS will be provided in the Compliance department's final response. Please note that if you wish to refer your matter to the FOS you must do so within six (6) months of the date of the final response we send to you.

Address of the FOS:

Financial Ombudsman Service

Exchange Tower

London

E14 9SR

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