

# Complaints Procedure

Tickmill UK Ltd

July 2020



Tickmill is a trading name of Tickmill UK Ltd (the "Company", "us", "we", "our", "ours" or "ourselves" as appropriate) and is authorised and regulated in the United Kingdom by the Financial Conduct Authority ("FCA") under firm reference number 717270. The Company's Principal and Registered Office is 3<sup>rd</sup> Floor, 27-32 Old Jewry, London EC2R 8DQ (registered company number 09592225).

### **1. Introduction**

Tickmill aims to treat its customers fairly in all aspects of its business and provide them with the highest standards of service that is expected from any FCA regulated company. However, if a particular aspect of our service falls short of your expectations, you may consider expressing your dissatisfaction.

### **2. Scope of the Complaints Handling Procedure**

Tickmill is authorised and regulated in the United Kingdom by the Financial Conduct Authority (FCA) and is required to comply with the FCA's Dispute and Resolution rules. These rules require us to establish complaint-handling procedures as part of our compliance with the regulations for handling expressions of dissatisfaction received from complainants regarding our services.

The FCA define a complaint as an 'expression of dissatisfaction, whether oral or written, and whether justified or not, from or on behalf of an eligible complainant about a firm's provision of or failure to provide a financial service'.

You can raise any queries or disputes via the phone, email, letter, or in person. Our email address is: [complianceuk@tickmill.co.uk](mailto:complianceuk@tickmill.co.uk) or you can write to the Head of Compliance, Tickmill UK Limited, 3<sup>rd</sup> Floor, 27-32 Old Jewry, London EC2R 8DQ.

### **3. Procedure**

You must tell us as soon as you become aware of the issue and in any event within two (2) Business Days of the event giving rise to the issue. The sooner you inform us, the easier it will be to resolve the matter. In the first instance, you may attempt to resolve any simple disputes or queries via your usual business contact. Most minor issues or queries can be resolved to the client's satisfaction by our customer service team. If you are dissatisfied with their response, you should contact the Tickmill Compliance Department immediately. You will be asked to provide full details relating to your issue.

The more relevant information you can provide, the easier it will be for us to resolve the matter. However please focus about the grievance.

Please set out the Complaint clearly, ideally in writing. This should include:

Your name;

Your account number;

The subject of the grievance or the affected transaction numbers, if applicable; The date and time that the issue arose; and A description of the issue.

The Compliance Officer (or another senior employee who was not involved in the dispute) will write to you acknowledging receipt of your complaint, within 24 hours. This acknowledgement will identify

the person who will be handling the complaint and explain the complaints handling process and any regulatory rights you may have.

This acknowledgement may include a copy of Tickmill UK's complaints handling procedures (if you have not already been provided with a copy or are unaware of those procedures). The Compliance Officer (or nominated officer) will act impartially and attempt to resolve the complaint within four weeks of the date of the acknowledgement letter.

Where we cannot resolve your complaint within this 'four-week' period, we will write to you again explaining why the firm is unable to resolve the complaint. The Compliance Officer may then take up to four additional weeks to resolve it.

If the dispute is not resolved within eight weeks from the date the complaint was raised with the Compliance Officer (or nominated officer), you will be sent a final determination letter explaining the options you have to pursue the matter further.

#### **4. Financial Ombudsman Service**

If you have been categorised as a Retail Customer or are an eligible Professional Customer, you will have the right to refer the matter to the Financial Ombudsman Service (FOS). The FOS will only handle your complaint if Tickmill has been given the opportunity to handle your dispute in the first instance. You must notify the FOS within six months of Tickmill's final response. If you have not already received a copy of the FOS's explanatory leaflet "Your complaint and the Ombudsman", a copy will be sent out with our final written response or information regarding FOS will be provided to you.

The Financial Ombudsman Service can be contacted at:

Financial Ombudsman Service

12 Endeavour Square

London E20 1JN

Telephone 0845 080 1800

Email: [complaint.info@financial-ombudsman.org.uk](mailto:complaint.info@financial-ombudsman.org.uk)

Website: [www.financial-ombudsman.org.uk](http://www.financial-ombudsman.org.uk)