



Complaints Handling

Version 2.0 – September 2023

Introduction

BTIG Limited ("**BTIG**", or the "**Firm**") has a Complaints Handling Policy in accordance with the rules of the Financial Conduct Authority. We appreciated that despite our efforts to offer the highest level of service to our clients, there may be instances where you are dissatisfied with some aspect of our service and this may result in a complaint.

Should you wish to make a complaint to us, this is the process we will follow to investigate the complaint and communicate our progress and the outcome of our investigation to you.

How to Raise a Complaint

If you have any cause for complaint regarding our services, you should raise the matter in the first instance with a member of our staff with whom you normally have dealings.

If the complaint cannot be resolved immediately or if you wish to address your complaint to another person, then you should contact our Head of Compliance by email (btigukcompliance@btig.com). Alternatively, you can contact them by post.

Please address your correspondence to:

Head of Compliance
BTIG Limited
5th Floor, 7 Bishopsgate
London EC2N 3AR

BTIG's Complaint Management Procedure

In the first instance, your primary contact at the Firm will endeavour to resolve your complaint by the close of the third business day following the date we receive your complaint. In this case, BTIG will send you a summary confirming that we consider your complaint to be resolved.

If your primary contact is unable to resolve your complaint within three business days, the details of your complaint will be passed to our Head of Compliance. We will send you a prompt written acknowledgement of your complaint and investigate your dispute competently, diligently, and impartially. We will endeavour to send a final response to you within 8 weeks of receipt of your complaint. Our final response will include a summary of the facts, our findings and, where appropriate, our proposed remedial action.

If BTIG is unable to provide you with a final response within this time frame, we will write to you explaining why and advise you when you can expect a final response.

Financial Ombudsman Service

If we do not provide you with a final response within 8 weeks from the date we received your complaint, or if you do not agree or are dissatisfied with the outcome of our investigation, you may be entitled to refer your complaint to the Financial Ombudsman Service (if eligible), who can be contacted at: Exchange Tower, Harbour Exchange Square, London E14 9SR, or via its website at www.financial-ombudsman.org.uk.



Head Office

5th floor, 7 Bishopsgate, London EC2N 3AR

020 7663 1700

