

## Complaints Procedure

July 2020

G10 Capital Limited (the “Firm”) is part of the Lawson Conner Group of Companies, who are owned by the IQ-EQ Group. Services may be provided directly by the Firm, or through its Appointed Representatives network. The Firm is responsible for handling all complaints that relate to its services, whether these are direct or through its Appointed Representative network.

The Firm strives to ensure that a high quality service is provided and customers are treated fairly. If you are dissatisfied with any aspect of the service you have received, we would like the opportunity to put things right.

The Firm’s Compliance Department is responsible for undertaking the complaints management function, and can be contacted using the following details:

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Telephone: 02036961302

*Please note all calls will be recorded for training and monitoring purposes.*

Email: [compliance@lawsonconner.com](mailto:compliance@lawsonconner.com)

Address: 136 Buckingham Palace Rd, Belgravia, London SW1W 9SA.

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In order to investigate the matter please provide us with all information pertaining to your complaint including your contact details.

We will keep a record of your complaint and the Firm will try to resolve your concern as quickly as possible. If you are happy with their proposed resolution of your case, we will treat your complaint as resolved and will provide you with a Summary Resolution Communication (“SRC”) by the third business day following receipt of your complaint. The SRC will include the outcome of your complaint and will inform you if you have a right to refer your complaint to an Alternative Dispute Resolution (“ADR”) entity (specifically, the Financial Ombudsman Service), or whether you may be able to take civil action.

If you are unhappy with the Firm’s proposed resolution, or where we have not been able to resolve the matter, we will promptly provide you with a written acknowledgment by the fourth business day following receipt of your complaint.

We will investigate your complaint competently, diligently and impartially and keep you informed of the progress of your complaint. We will send a ‘final response’ with our findings and conclusion within eight (8) weeks after the complaint is received. The final response will confirm whether the complaint is upheld and whether or not any redress or remedial actions are proposed and inform you that

if you are not satisfied with the response, you may be able to refer the complaint to an ADR entity or take civil action.

### **Your rights**

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 Financial Ombudsman Service, free of charge. The Firm will confirm in writing if you are considered an eligible complainant and are able to refer your complaint to the Financial Ombudsman Service.**

Further details for the Financial Ombudsman Service and how to refer a complaint will be provided in the Firm's final response. Please note that if you wish to refer your matter to the Financial Ombudsman Service, you must do so within six (6) months of the date of the final response we send to you.

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### **Further Information:**

Contact details for the Financial Ombudsman Service:

Address: Financial Ombudsman Service Exchange Tower London E14 9SR

Telephone: 0800 0234 567 (free from landlines and mobiles) or 0300 1239123 (charged at a national rate)

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