

Daiwa Capital Markets Europe – Complaints Handling Process - UK

The below complaints handling process relates to Daiwa Capital Markets Europe Limited (DCME).

Making a complaint

We are committed to providing products and services of the very highest standards. If you feel that you have not received the products or services that you expected in any way, we would like to know so that we can investigate and further improve the service we provide.

Complaints may be made through a combination of the following ways:

- Verbal complaints – these can be in person or via the phone.
- Written complaints – these can be sent to DCME, or other area of the Daiwa Group by post, or email. Complaints may also be forwarded by the regulators.

Any complaints are made free of charge.

What constitutes a complaint?

Complaints are defined as any oral or written expression of dissatisfaction, whether justified or not, from, or on behalf of, a person about the provision of, or failure to provide, financial services or a redress determination, which alleges that the complainant has suffered (or may suffer) financial loss, material distress or material inconvenience.

Who do I complain to?

Complaints may be addressed to your usual Relationship Manager or a DCME Desk Head who will be able to escalate your complaint as appropriate. Alternatively, if you are in the UK, you may direct your complaint to DCME Compliance using the following contact details:

UK Head of Compliance
Daiwa Capital Markets Europe Limited
5 King William Street
London
EC4N 7DA
United Kingdom
Email: ComplianceAdvisory@uk.daiwacm.com

Alternative Dispute Resolution

Clients are also entitled to approach the relevant regulator or external complaint body directly with a complaint. The contact information for this regulator and external complaint body can be found below. If your complaint is not resolved, you may be able to take civil action.

United Kingdom

If you are an Eligible Complainant (as defined by the FCA), you may fall under the jurisdiction of the Financial Ombudsman Service. For more information on the Financial Ombudsman Service, please visit their website. Additionally, they can be contacted via the details below: The Financial Ombudsman Service Exchange Tower, London E14 9SR, United Kingdom Tel: 0800 023 4567 or 0300 123 9 123

Website: [Financial Ombudsman Service](#)