

BLACKWELL GLOBAL INVESTMENTS (UK) LIMITED

Complaints Policy

COMPLAINTS POLICY

Blackwell Global Investments (UK) Limited is a limited liability company registered in England and Wales with its registered office at 107 Cheapside, London EC2V 6DN. Company Number 09241171. Blackwell Global Investments (UK) Limited is authorised and regulated by the Financial Conduct Authority. Financial Services Register Number 687576.

This document sets out Blackwell Global Investments (UK) Limited (Hereafter “Blackwell Global”, “us”, “we” and “our”) policy of receiving and dealing with complaints made by our clients. Blackwell Global is committed to treating its customers fairly and to ensuring that any complaints that you may have about the products or services provided to you by us are dealt with quickly and fairly. If you have any questions about this document or on your rights of complaint to Blackwell Global, please do not hesitate to contact our compliance Officer, who has responsibility for oversight of the company’s compliance with the Financial Conduct Authority’s (FCA) rules in relation to client complaints.

The FCA has issued specific rules governing the manner in which regulated firms are to handle customer complaints (see FCA Handbook: Dispute Resolution: complaints (DISP)). The FCA’s rules relating to complaints are designed to lay down minimum standards for the proper handling and resolution of complaints received from clients. This is to ensure that complaints are handled fairly, effectively and promptly, minimising the number of complaints that need to be referred to the Financial Ombudsman Service. This purpose is consistent with the FCA’s consumer protection regulatory objective.

1. Making a Complaint

If you are a client or a potential client of Blackwell Global and are a private individual or represent a business which employs fewer than 10 persons and has a turnover or annual balance sheet that does not exceed EUR 2M at the time the complaint is made to us, and you are dissatisfied with any aspect of your dealings with us, you have the right to complain to us. You may make such a complaint in writing, over the telephone, or in any other usual method of communication which is convenient for you.

2. Dealing with your Complaint

As soon as we receive your complaint, it will be referred to the relevant department within our business and if required, you will be contacted and asked to provide as much information as you can in relation to the complaint. We will endeavour to resolve the complaint to your satisfaction within one business day.

If we are unable to resolve your complaint within one business day, we will acknowledge your complaint in writing and a member of our compliance Department will be appointed to oversee and handle our investigation. We will keep you up to date as matters progress. You are free to contact us at any time if you have any questions.

At the earliest opportunity and within eight weeks of receipt of your complaint we will:

Send a final written response to you which either:

- i. Accepts the complaint and, where appropriate, offers redress or remedial action; or
- ii. Offers redress or remedial action without accepting the complaint; or
- iii. Rejects the complaint and gives our reasons for doing so; or
- iv. Explains why it is not possible to make a final response and indicates when we expect to be able to do so.

At this point we will also provide you with full details of how you can refer your complaint to the Financial Ombudsman Service if you are dissatisfied with our response.

If you accept our decision you should inform us of this, but if you do not do so within eight weeks, the case will be considered closed.

3. Right to Refer to Financial Ombudsman Services

Where we are not able to resolve your complaint to your satisfaction, you may be permitted to refer your complaint to the Financial Ombudsman Service. Please be advised you must do this within 6 months. Should this be necessary, Blackwell Global will provide you with full details of how to do this.