



Complaints Procedure

Liberum Capital Limited

January 2018

We are committed to providing products and services of the highest standards. If you feel that we haven't lived up to your expectation in any way, we would like to know so we can put things right.

You may voice your concerns and how we could resolve the matter by contacting your business manager or the Head of Compliance using the enclosed contact details.

In the event that we receive a complaint we will retrieve all the necessary documentation relevant to your account, from our files and systems. These documents will be read and considered, in conjunction with your complaint by our Head of Compliance.

We will endeavour to respond to and resolve your complaint straight away, which we consider to be at least one business day after the day we receive your complaint. However we may need to carry out further internal investigations. In such an event within 5 working days from when we received your complaint we will acknowledge your complaint and let you know when you can expect a full response which will be no more than 4 weeks from the receipt of your complaint. We'll also let you know the name and contact details of the person or team dealing with your case.

In the unlikely event that our investigations require longer than 4 weeks to complete, we will write to you to explain why we are not yet in a position to respond to your complaint and indicate when we will make further contact (this must be within 8 weeks of the receipt of the complaint).

If after 8 weeks we are still not in a position to make a response, we will write to you and give reasons for the delay and an indication when we expect to provide a full and final response. At this point if you wish you can forward your complain to an appropriate external authority.

Once our investigations are complete we will write to you with our response, this will be either a final response or an offer letter, depending on the circumstances of your complaint.

A final Response is:

- where we believe we have fully addressed your complaint and
- notify you that you may refer the complaint to the appropriate authority if you remain dissatisfied with our final response and that you must do so within 6 months

An offer letter is:

Where we consider that you are entitled to some redress, we will include a page for you to state your acceptance and return to us. We will then forward the agreed redress in a final response letter.

We will consider a complaint closed when we have sent you our final response and

- you have indicated in writing that you accept our offer or response or
- you fail to respond to our correspondence within 8 weeks from the date of our written response.

Contact Details:

Head of Compliance
Liberum Capital Limited
Ropemaker Place
25 Ropemaker Street
London
EC2Y 9LY

Tel: +44 20 3100 2000

Email: compliance@liberum.com