

Panmure Gordon

AND COMPANY

Summary of UK Complaints Handling Procedures

Introduction

Panmure Gordon (UK) Limited (“we”, “our” or “us”) operate a Complaints Policy in accordance with the rules of our regulator the Financial Conduct Authority.

We are committed to providing a fast and efficient service to our customers and clients, but on occasions, we may fall short of this goal and this may result in a complaint. We aim to treat all complaints fairly and objectively.

Scope

This Policy applies to complaints relating to all our business and does not distinguish between Retail, Professional and Eligible Counterparties.

Procedure

Your Panmure Gordon contact will be the first point of contact for handling your complaint. However, should you wish to address your complaint to another person, you can contact our Compliance Department at:

Head of Compliance
Panmure Gordon (UK) Limited
One New Change
London EC4M 9AF

panmurecompliance@panmure.com.

Below are details of the complaint handling arrangements:

- Complaints can be made by letter, e-mail, telephone or personal communications
- Complaints will be referred to our Compliance Department and investigated by staff independent of the complaint.
- In relation to complaints from Retail Clients, we will respond in accordance with the timeframes set out in the FCA’s Dispute Resolution Rules.
- If a Retail Client remains dissatisfied with our response to a complaint, they have the right to refer the complaint to the UK Financial Ombudsman Service.
- All other complaints will be investigated and responded to in a timely manner.