

Braemar Securities Limited Complaints Disclosure

Braemar Securities Limited (“**BSL**”) is a company incorporated in the United Kingdom, company number 07899358, and regulated by the Financial Conduct Authority, Firm Reference Number 583277.

While BSL maintains the highest professional standards when working with our clients, there may be occasions where you may wish to make a complaint. In doing so we shall address your problem and ensure there is no repetition of the issue.

How to submit a complaint?

1. Any query should be raised with your normal contact at BSL. We will always endeavour to resolve your issue in this way before you raise a complaint.
2. If our responses do not resolve the issue in hand to your satisfaction, you have the right to raise an official complaint to our Compliance team.
3. We shall promptly send you a written acknowledgement that your complaint has been received and will deal with your complaint efficiently and effectively, and to do so we established necessary procedures.
4. We politely request that complaints are made in writing to **Compliance** either via email to compliance@braemar.com or via mail to:

Compliance

Braemar Securities Limited
1 Strand
Trafalgar Square
London
WC2N 5HR

- a. Please include the following information to help assist BSL to address your complaint, please include where possible: Name of complainant
- b. Address of complainant
- c. Full details of the complaint, including but not limited to:-
 - Date and time of the event causing the complaint.
 - Name of BSL employee if any with whom you have discussed the matter.
 - Compliant Description.

Complaints Resolution

- 1 BSL will ensure you are kept informed of the progress of the measures being taken for resolution of the complaint. Subsequently, BSL will write to you after four weeks if a final decision has not been reached.
- 2 BSL will issue a final response to you within 8 weeks unless further information has been requested from you (the “**Final Response**”). For eligible complainants, BSL will also inform you about options for referral to the Financial Ombudsman Service. If your complaint has not been resolved within 8 weeks and we have not given you a clear update, if you are an eligible complainant, you can refer your complaint to the Financial Ombudsman service (“**FOS**”) (details below).
- 3 However, if your complaint is more complex and requires further investigation by us, we will keep you up to date regarding the progress of investigation, status, and reasons for delay.
- 4 An update will be provided monthly (every four weeks) until the complaint case has been resolved.

Financial Ombudsman Service

If you are unhappy with our resolution your complaint may be eligible for referral to the FOS. The FOS can be contacted at:

Address: The Financial Ombudsman Service, Exchange Tower, London E14 9SR

Tel: **0800 023 4567** (free for most people ringing from a fixed line) or **0300 123 9123** (cheaper for those calling using a mobile) or +44 20 7964 0500 (if calling from abroad)

Email: complaint.info@financial-ombudsman.org.uk

Website: www.financial-ombudsman.org.uk

You should note that you must refer your complaint to the FOS within 6 months of the date of our Final Response and that the FOS will not take a complaint until BSL have had the opportunity to investigate and provide you with a Final Response.