

Complaints Policy Summary

At Daiwa Capital Markets, we are committed to providing you with products and services of the very highest standards. If you feel that you have not received the products or services that you expected, we would like to know so that we can investigate and further improve the service we provide.

Who do I complain to?

Complaints may be addressed to your usual contact at DCME who will escalate your complaint as appropriate. Alternatively, should you wish to submit a complaint in a different manner, please use the following contact details:

Head of Compliance
Daiwa Capital Markets
5 King William Street
London
EC4N 7DA
United Kingdom

Telephone: +44 02075978000
Email: complianceadvisory@uk.daiwacm.com

What happens next?

When you contact us with a complaint, we will ascertain the complaint details and how you envisage it may be resolved to your satisfaction. The more detail that you are able to provide will assist us in resolving the matter swiftly and efficiently.

Complaint resolution

We will always investigate your complaint impartially, treat you fairly and will always aim to provide a prompt resolution. If we are unable to resolve your complaint promptly, we will acknowledge receipt in writing. We will keep you updated of our progress on a regular basis until we are in a position to provide our final response.

If for any reason, you are still unhappy with our response, please discuss with us, but you may also have the option to take civil action.

Our complaint handling procedure

DCME has a dedicated internal procedure for investigating and responding to client complaints that reflect the requirements of the FCA's Dispute Resolution Sourcebook ("DISP"). Please contact us if you would like further details regarding our complaints handling procedure.

Daiwa Capital Markets Europe Limited
LEI: MIM2K09LFYD4IB163W58