



Interactive Brokers (UK) Limited - Complaints Handling Policy and Procedures Summary

1. Policy Statement

IBUK takes customer complaints very seriously and strives to:

- » Investigate each complaint competently, diligently and impartially;
- » Assess each complaint fairly, consistently and promptly with respect to subject matter, whether it should be upheld and what remedial action or redress may be appropriate;
- » Offer redress or remedial action when appropriate;
- » Explain to the complainant promptly and, in a way that is fair, clear and not misleading, its assessment of the complaint, its decision on it and any offer of remedial action or redress; and
- » Comply promptly with any offer of remedial action or redress accepted by the complainant.

IBUK will endeavour to resolve all complaints within four weeks and to keep complainants periodically updated on the progress of their complaints.

2. How Customers Can Make a Complaint

Customers are actively encouraged to use the WebTicket system for prompt attention. However, customers may file a complaint by the following methods:

- » By creation of a Webticket in Account Management. This is the recommended method by which to create a complaint. Tickets are processed faster than emails and are also more secure.

- » Email sent to:
 - » help@interactivebrokers.com
 - » proserve@interactivebrokers.com
 - » ibmgmt@interactivebrokers.com
 - » csmgmt@interactivebrokers.com

Please note that in order to ensure that your complaint is flagged and given the required attention, we kindly ask you to state "COMPLAINT" in the subject header field of the email.

» By Letter, addressed to:

Complaints Handling,
Compliance Department
Interactive Brokers (U.K.) Limited
1 Carey Lane, fifth floor
London EC2V 8AE
United Kingdom

» By Fax to Interactive Brokers (UK) Limited on 0044 207 796 4737

» By Calling IBUK Customer Service using the telephone numbers provided on the IBUK website. Please note that this method is discouraged as in most cases we will need specific details in order to investigate your complaint. Whilst you can lodge your complaint via phone, we will need you to provide follow-up details by one of the methods described above.

3. **What happens with your complaint after IBUK has received it?**

Upon receipt, your complaint will be forwarded to relevant staff who will investigate and assess your complaint diligently, fairly and promptly.

Once your complaint has been received by IBUK, we will acknowledge receipt of your complaint by email. The email will provide you with information on how our complaints process works, contact details etc.

In most cases, the investigation is concluded in less than four weeks but it sometimes happens that the investigation takes longer than that. We will keep you updated on the progress of your complaint and communicate with you in accordance with the FSA's rules on dispute resolution.

Once our investigation has been completed you will be sent a final response with our findings and the outcome of your complaint.

4. **If you are still not satisfied**

Should you remain dissatisfied with our final response, you have the right to have your complaint reviewed independently by the UK Financial Ombudsman Service ("FOS"). You can contact them using the below details:

The Financial Ombudsman Service
South Quay Plaza
183 Marsh Wall

London
E14 9SR

Tel: 0845 080 1800 or from abroad 0044 20 7964 0766

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

Please note that the FOS can only consider your complaint if:

- » we have sent you a final response with which you remain dissatisfied; and
- » you refer the complaint to the FOS within six months of the date of our final response to you

For additional information about the FOS, please visit their website: <http://www.financial-ombudsman.org.uk>