

## **Axis Capital Markets LTD Complaints Handling Brochure**



### **What to do if you need to complain: Introduction**

Whilst Axis Capital Markets LTD (AxCap) is committed to providing the highest level of service to our customers, occasionally you may have cause to complain. We take customer complaints very seriously and we wish to be informed of any dissatisfaction you may have with us as soon as possible.

### **How to Complain**

Complaints should be submitted in writing. Your written complaint should clearly outline the exact nature of your complaint so that the matter can be properly investigated.

You may address your complaint to: Compliance Desk  
Axis Capital Markets LTD  
4th Floor  
Princes Court  
7 Princes  
Street London  
EC2R 8AQ

### **Acknowledging your Complaint**

A Compliance Officer will acknowledge your complaint within 5 business days of receiving your written complaint. The acknowledgement letter will inform you who will be handling and investigating your complaint. The acknowledgement letter will be accompanied by a Financial Ombudsman Service complaints brochure.

### **Investigation of the Complaint**

On receipt of your complaint the Compliance Officer will undertake a full independent investigation and you will be sent a final response containing their findings within 8 weeks of receiving your written complaint. This time frame is prescribed by the Financial Ombudsman Service. Although AxCap endeavours to respond to complaints as soon as possible, if it has not been possible to respond the issue within eight weeks, we will write to you explaining why there has been a delay and indicating when a response is expected.

### **Unresolved Complaints**

If you are not satisfied with our final response or have not received a final response within 8 weeks of us receiving your written complaint, you may refer the matter to the Financial Ombudsman Service. This process is detailed in the brochure accompanying our complaint acknowledgement letter.



### **Financial Ombudsman Service**

Under the terms of the Financial Services and Markets Act an Ombudsman Scheme has been established to administer all complaints, which cannot be resolved by a firm within eight weeks of receipt. The Ombudsman is an independent body created by the amalgamation of all previous complaints and arbitration schemes.

You should address any unresolved issues you may have to: The Financial Ombudsman Service  
South Quay  
Plaza 183  
Marsh Wall  
London  
E14 9SR

Please note that referral to the Ombudsman must take place within six months of your receiving our final response letter.

AXIS CAPITAL MARKETS LIMITED ("AXCAP") a company registered in England and Wales with company number 08133033. Authorised and regulated by the Financial Conduct Authority (FRN 589327) whose registered office is Princes Court, 7 Princes Street, London, EC2R 8AQ.