

INTRODUCTION

This Complaints Handling Procedures applies to Conexim Advisors Limited (“**Conexim**” or the “**Firm**”). Conexim is regulated by the Central Bank of Ireland (“**CBI**”) under the European Union (Markets in Financial Instruments) Regulations 2017 (referred to as “**MiFID II**”).

This policy defines processes for the prompt handling of clients’ complaints received by the Firm. This policy applies only where Conexim receives a complaint about investment services as authorised by the CBI.

Conexim is committed to delivering the highest level of service to all our customers. However, we realise there could be times when you may want to make a complaint. We will do our best to resolve all complaints as satisfactorily and as quickly as possible.

HOW TO MAKE A COMPLAINT?

If you are unhappy with the level of service that you have received and would like to make a complaint, please contact the Head of Compliance below. Complaints can be raised in writing (by email or letter), by phone or in person. Where a complaint is made orally, we may request you to put the complaint in writing.

For any queries or to request further information please contact:

compliance@conexim.ie

FAO: Head of Compliance

Conexim Advisors Limited
97 Haddington Road
Dublin 4, D04 YK79

Telephone: +353 (0)1 679 8080

WHAT INFORMATION SHOULD YOU PROVIDE?

To help us deal with your complaint quickly and efficiently, it would help us if you included the following information:

- Account reference name and number
- Full name
- Email address
- Contact telephone number
- Clear details of your complaint, including any former communications you have had concerning the issues you are raising.
- What you are hoping to achieve (for example an apology, explanation, etc.).
- State your preferred method of communication.

It will assist us if extra information and/or copies of relevant documents are attached to your complaint.

HOW DOES CONEXIM DEAL WITH COMPLAINTS?

Your written complaint will be acknowledged in writing by the Compliance Function without undue delay and within 5 business days from receipt of the written complaint. If your complaint is straightforward, we aim to resolve concerns as quickly as possible and within 40 business days.

Within 5 business days of the completion of the investigation we will advise you of:

- the outcome of the investigation;
- where applicable, the terms of any offer or settlement being made;
- your right to: o refer the matter to the Financial Services and Pensions Ombudsman (FSPO) and the contact details of the Office of the FSPO; or o take civil action.

If your complaint is more complex, and we will be unable to resolve it within 40 business day, we will:

- let you know within this time why we think it may take longer to investigate;
- tell you how long we expect it to take; and
- give you regular updates, at no greater intervals than every 20 business days, on any progress made.

All communication with clients should be made clearly, in plain language that is easy to understand.

THE FINANCIAL SERVICES AND PENSIONS OMBUDSMAN (“FSPO”)

If we do not succeed in resolving your complaint, you may complain to the FSPO. The FSPO is independent and can look into your complaint if you believe that you personally, or the person on whose behalf you are complaining have been treated unfairly, received a bad service through some failure on our part, have been disadvantaged personally by a service failure. Only consumers can avail of this option.

A consumer is a private individual or, subject to certain turnover limitations (currently €3m), a legal entity.

The FSPO expects you to bring your complaint to Conexim’s attention first and allow us the opportunity to put things right.

You can contact the FSPO by:

- telephone: +353 (0)1 567 7000
- email: info@fspoi.ie
- the website: www.fspoi.ie
- in writing to: Lincoln House, Lincoln Place, Dublin 2, D02 VH29