



Should you have any cause for complaint regarding our services you should raise the matter in the first instance with a member of our staff with whom you normally have dealings.

If the complaint cannot be resolved immediately, then you should contact the Compliance Officer. If you are an eligible complainant (that is, you fall below certain size thresholds and you are not a Professional Client or an Eligible Counterparty), the Compliance Officer will have a duty to investigate in accordance with the regulatory system and, if they deem your complaint to be valid, to make a suitable proposal for settlement.

If, after we have had a reasonable opportunity to deal with the matter, you are dissatisfied with our response you may be entitled to refer the complaint to the Financial Ombudsman Service, whose contact details are: Exchange Tower, London E14 9SR, complaint.info@financial-ombudsman.org.uk or 020 7964 1000 and whose website is www.financial-ombudsman.org.uk. In certain circumstances the Financial Ombudsman can make awards of up to £150,000. You should note that the Financial Ombudsman Service is not available unless you are an eligible complainant.

Numis Securities Limited (trading as Deutsche Numis) is covered by The Financial Services Compensation Scheme which can, in certain cases (depending on the type of business and the circumstances of the claim) where an FCA regulated Firm has ceased to do business and cannot meet its liabilities, give compensation. In relation to investments such compensation is limited to £50,000. Further information is obtainable from Numis Securities Limited (trading as Deutsche Numis) or from the FCA at 12 Endeavour Square, London E20 1JN or from the Financial Services



Compensation Scheme, 10th Floor, Beaufort House, 15 St Botolph Street, London EC3A (www.fscs.org.uk). You should note that this scheme is not normally available to Professional Clients or to Eligible Counterparties.