

Client Complaints

Instinet Europe Limited (“Instinet” or “we” or “us”) is authorised and regulated by the Financial Conduct Authority (“FCA”) to provide Regulated Activities¹ and services pursuant to its authorisation as a Payment Services Institution² (“Payment Services”).

Instinet aims to continually deliver the highest standards of service to its Clients for its Regulated Activities and Payment Services. This document sets out the process to follow where a Client, User or prospective Client /User (“Clients” or “you”), wishes to express any dissatisfaction about Instinet’s Regulated Activities or Payment Services, its staff, or anyone else acting on its behalf either in person, by phone, by email or in writing through any other medium (a “Complaint”).

We value our relationship with our Clients and it’s important that we help resolve any issues you may have. Instinet is committed to supporting your experience in a way which is fair, clear and not misleading. If you have a Complaint about any of our services or products, please raise your concerns by following the process outlined below.

If you are a Client of an affiliate Instinet entity, you should contact the relevant affiliate regarding your Complaint who will then liaise with Instinet on your behalf.

How do you file your Complaint?

Complaints should be addressed to Instinet’s Compliance Department and should include the information below:

Contacts

Phone: +44 (0) 207 154 8899

Email: uk.compliance@instinet.com

In person or Letter: Compliance Department, Instinet Europe Limited, 1 Angel Lane, London, EC4R 3AB, UK

Information to include for written Complaints:

- Client name and contact person for Instinet to send responses to
- Client contact details: postal address, e-mail address and telephone number(s)
- Information regarding the Complaint: date, service, product, issue, trade references etc.
- Resolution: your suggestion on how the Complaint can be resolved
- The name of the Instinet representative or contact person

¹ (in accordance with section 22 of the Act (Regulated activities)) the activities specified in the Regulated Activities Order

² Pursuant to regulation 6 of the Payment Services Regulations 2017 (SI 2017/752) (conditions for authorisation as a payment institution) and included by the FCA in the Financial Services Register as an authorised payment institution pursuant to regulation 4(1)(a) of the Payment Services Regulations

When can you expect a response to your complaint?

For Regulated Activities provided by Instinet, when we receive your Complaint, we will send an acknowledgement that it is being investigated. Within four weeks of receiving your Complaint we will send you either a final response or a holding response.

Where we have sent you a holding response, we will explain why we are not able to respond to your Complaint in full and we will indicate when you will receive a final response with resolution of your Complaint. In general, we will strive to provide you with a final response within eight weeks after the receipt of your Complaint.

In the event your Complaint cannot be resolved within eight weeks, we will notify you and explain why we are not able to resolve your Complaint in the set timeframe and indicate when we will be able to provide you with a final response.

For Payment Services offered by Instinet, when we receive your Complaint, we will send an acknowledgement in writing that it is being investigated and make every possible effort to address all points raised as soon as possible and at the latest 15 business days after the day the Complaint was received by the Compliance Department.

In the event that we cannot address all points raised in the Complaint within 15 business days, we will send you a holding reply within the same timeframe with a clear indication of the reasons for the delay and a specified deadline of when we will be able to address all points raised in your Complaint. The specified deadline will be no later than 35 clear business days of receipt of your Complaint.

If you have any questions surrounding the Complaint handling procedures described in this document for Regulated Activities and/or Payment Services please contact UK Compliance via the contact details set out above for further information.

Instinet Compliance, July 2021

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