

## **SBI Shinsei International Limited**

### **Complaints Handling Procedures**

SBI Shinsei International Limited (“SBISIL”, “it” or the “Firm”) is authorised and regulated by the Financial Conduct Authority (“FCA”), and under MiFID II it is required to maintain a Complaints Procedure to be made available to clients or prospective clients upon request.

SBISIL does not deal with “Eligible Complainants” as defined in DISP 2.7.3 of the FCA Handbook, and its clients will be unable to access the Financial Ombudsman Service (FOS). Further information on FOS is available on request.

Complaints may be made verbally or in writing (via email or mail). Verbal complaints will be required to be followed up with a written communication.

Complaints should be sent to:

SBI Shinsei International Limited  
43 London Wall  
London EC2M 5TF  
Attention: Complaints Officer

Email: [SBISIL\\_Compliance@sbishinsei.co.uk](mailto:SBISIL_Compliance@sbishinsei.co.uk)

If the Complaint is not able to be resolved on the day of receipt, the Firm will provide you with a written acknowledgement of your complaint within three working days of receipt.

Where a complaint is resolved by close of business on the third business day following the day on which it is received, the Firm will send the complainant a final response letter. If a complaint is not resolved by close of business on the third business day following the day on which it is received, the complainant will be kept informed of the progress and actions being taken to resolve the complaint.

By the end of eight weeks after receipt of a complaint, the Firm will send the complainant, a ‘final response’ being a written response which:

- a) accepts the complaint and, where appropriate, offers redress or remedial action; or
  - b) offers redress or remedial action without accepting the complaint; or
  - c) rejects the complaint and gives reasons for doing so;
- or a written response which explains why the Firm is not in a position to make a final response and indicates when it expects to be able to provide one.

A complaint will be deemed closed where the Firm has issued a final response or the client has provide written acceptance of an earlier response.