

COMPLAINTS HANDLING PROCEDURES

How to complain and how we will respond

Arrow Energy Markets (UK) Limited (**AEM**) is authorised and regulated by the Financial Conduct Authority (**FCA**) in the United Kingdom. We are required to have in place effective and transparent procedures for the reasonable and prompt handling of complaints in relation to our products and services.

This document sets out the complaints handling procedures that we will follow in the event that you make a complaint.

How can you make a complaint?

You can make a complaint by any reasonable means – for example, letter, email, telephone or in person. It is free of charge.

To make a complaint, please contact:

Name: Ross Revell
Address: For the attention of the Compliance Officer of Arrow Energy Markets at Octavia House, 1 The Boulevard, Imperial Wharf, London SW6 2UB
Email Address: compliance@aemarkets.com
Telephone: To your broker or by calling 020 3664 8000 and asking to speak with the Arrow Energy Markets Compliance Officer.

What will we do once we have received your complaint?

We will promptly acknowledge your complaint in writing. In this acknowledgement, we will provide the name and title of the person that is handling your complaint and include a copy of our complaints policy. We will investigate, assess and handle your complaints in line with our policy.

Investigating and resolving your complaint

We will investigate your complaint competently, diligently and impartially with a view to deciding whether the complaint should be upheld and whether any remedial action and / or redress may be appropriate. We will set out our conclusions in a final response to you.

If we decide that redress is appropriate, we will aim to provide you with fair compensation for any acts or omissions for which we are responsible. If you accept our offer, we will promptly provide the compensation to you.

Our timetable for responding to you

Once we have acknowledged your complaint, we will keep you informed of our progress. If we are able to quickly resolve your complaint, we will send you a Summary Resolution Communication which will:

- Acknowledge your complaint and confirm that we now consider it to be resolved.
- Explain that (if you are an 'eligible complainant' under applicable law):
 - you may still be able to refer your complaint to the Financial Ombudsman Service (**FOS**) if you subsequently disagree with our decision, and the timescales you have for doing this; and
 - provide information about how to contact the FOS.

If we are not able to resolve your complaint quickly, we will, within eight weeks of receiving your complaint, send you either a final response or a written response that explains why we are not in a position to make a final response to you and when we expect to provide one.

If you are an 'eligible complainant' under applicable law our response will also:

- inform you that, if you remain dissatisfied, you may refer the complaint to the FOS; and

- enclose a copy of, or an electronic link to, the FOS standard explanatory leaflet.

Financial Ombudsman Service

If you are an 'eligible complainant' under applicable law, you are able to refer a complaint to the FOS if you are not satisfied with the outcome of your complaint. Your rights are set out in the FOS's leaflet "Your Complaint and the Ombudsman" which we will provide to you as part of the Complaints process. Please remember that if you wish to refer a complaint to the FOS, you must do so within six months of the date of our final response.

You can contact them via:

- Telephone 0800 023 4567 or 0300 123 9123.
- Email: complaint.info@financial-ombudsman.org.uk.
- Their online complaints page at <https://www.financial-ombudsman.org.uk/make-complaint>

Further information can be obtained from the Financial Ombudsman Service www.financial-ombudsman.org.uk

Closing complaints

We will regard your complaint as closed in the following circumstances:

- once we have sent you a final response;
- where you have told us in writing that you accept an earlier response that we have sent to you; or
- to the extent applicable, if you refer your complaint to the FOS, when the FOS informs us that the complaint has been closed.