CITICS (UK) – Complaints Handling Information

CITIC Securities (UK) (hereinafter referred to as "CITICS (UK)", "we", "us" or "our") is committed to handling complaints fairly, consistently and promptly. If you have a complaint about our regulated activities, please speak to your contact at our firm who will assist you with our formal complaints handling procedure. Alternatively, you may contact the CITIC Securities (UK) Compliance Department:

Email: compliance_UK@clsa.com

Phone: +44 20 7614 700

Address: Level 34, 8 Bishopsgate, London, EC2N 4BQ, United Kingdom

You can raise a complaint to us in writing or over the telephone.

We will investigate your complaint fully and impartially, taking account of all relevant information available to us.

Where possible we will seek to resolve your complaint promptly. If we can resolve your complaint by the end of the third business day following receipt, and if you have told us that you are satisfied with our response, we will close your complaint after taking any action that we have agreed with you.

If we cannot close your complaint by the end of the third business day following receipt, we will acknowledge your complaint in writing. Our communication will describe our understanding of your complaint. It will also summarise our complaint handling procedures, which will be overseen by the Compliance department who are responsible for ensuring complaints are assessed in accordance with applicable regulatory requirements. We will also tell you who your point of contact will be.
We aim to resolve your complaint within 8 weeks of receipt and will write to you to provide an update of progress after 20 business days. We may also contact you in writing or by telephone to ask you for further information to help us with our investigations.

If we are unable to resolve your complaint within 8 weeks, we will write to you to explain why the handling of your complaint is taking longer. We will also tell you when we expect to bring your complaint to a conclusion.

We only deal with Eligible Counterparties and Professional clients so it is unlikely you will have access to an ombudsman scheme, however we will assess this as part of the investigation and inform you in writing of any rights you may have to refer your complaint to the Financial Ombudsman Service and the time limits for doing so.
After finishing our investigation, we will send you a final written response detailing the outcome and our reasoning. If your complaint is upheld, the letter will outline the actions we will take to resolve the issue.