

**Hobart Capital Markets  
Complaints Procedure  
September 2013**

**Objective**

This note describes in outline the internal procedures operating at Hobart Capital Markets LLP (“Hobart”) for the reasonable and prompt handling of complaints. As such it satisfies Hobart’s obligations under rule DISP 1.2.1 R of the Financial Conduct Authority’s Handbook of Rules and Guidance.

**Background**

Hobart places a premium on the successful outcome of complaints – successful both in terms of the satisfaction of the customer and the protection of Hobart’s reputation. To this end the following procedures have been designed to produce as efficient and fair an outcome to any complaint raised.

Given the importance that Hobart places on the successful outcome of complaints, this effective functioning of this procedure is the responsibility of the Chief Executive.

**Administrative Matters**

Many complaints, and expressions of dissatisfaction, will be of an administrative nature and easily resolved. If the matter has been dealt with to the customer’s satisfaction by the close of the business day following the complaint’s receipt, the following procedure need not be followed.

**The Procedure**

Complaints not resolved by the close of the following business day will be recorded, acknowledged and investigated.

All complaint investigations should be finalised within 8 weeks from the date on which the matter was originally raised. On the conclusion of the investigation, Hobart will write to the complainant stating whether the complaint has been upheld or rejected, any offer of compensation, and any applicable rights.

Complaints should be addressed to:

The Chief Executive  
Hobart Capital Markets LLP  
8-10 Grosvenor Gardens  
London  
SW1W 0DH