

Complaints

We are here to **help**

We want to make sure you are aware of how we deal with any complaints you may have about the products or services we provide.

Rest assured, we will:

- treat you fairly
- respond promptly
- investigate your complaint impartially

How to complain

You can complain however you feel comfortable: face to face, by phone, by letter, by e-mail or by chat to any contact in UBS Investment Bank.

What happens when you complain

We will try to sort it out straight away

We will look into what has happened. Most complaints can be resolved promptly, while others may be more complex and require some time to determine an outcome.

We will contact you if we cannot sort it out quickly

We will look carefully into the issues you raise. We might get in touch to make sure we understand your concerns and get more details. If you have any information that is relevant, please send details to the person you notified of the complaint.

We will let you know what we decide to do

For a complaint that requires investigation, we will let you know of our decision based on what we have found in the investigation.



If we uphold your complaint

We will let you know how we plan to put things right. This may include an offer which you can choose to accept or reject.

We hope you will be happy with what we propose

If you are not, you can use your internal escalation process and let your UBS representative know of your continued dissatisfaction with the outcome.

If we reject your complaint

We will explain why. If you do not agree with what we have found, you can use your internal escalation process and let your UBS representative know of your disagreement with the complaint being rejected.

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