



Legal & Compliance



Complaints Process

Purpose

This process provides information to Clients (“Clients” or “you” or “your”) of TP ICAP (“TP ICAP” or “we” or “us” or “our”) who wish to register a complaint.

We value our relationship with our Clients and it’s important that we can help resolve any issues you may have. That’s why we are committed to supporting your experience in a way which is fair, clear and not misleading. Therefore we encourage you to let us know if you are not satisfied with any of the services or products that we provide. If you have a complaint about any of our services, please share your concerns right away so we can help you and resolve your complaint as quickly as possible.

Scope

This process applies to any Client of TP ICAP who is not satisfied with the service provided in our capacity as an FCA regulated institution. If an order has been sent to TP ICAP for execution via an affiliated TP ICAP entity, you should contact the relevant TP ICAP affiliate who will liaise with TP ICAP on your behalf.

How do you file your complaint?

If a Client wishes to make a formal complaint, the notification must be made via email or letter to TP ICAP’s Compliance Department and include the information stated below:

Contact address:

Email: complaints@tpicap.com

Letter: Head of Compliance, 135 Bishopsgate, London EC2M 3TP

Information to include:

- Name of the Client and the name of Client’s contact person
- Client’s contact details: postal address, e-mail address and telephone number(s)
- Information regarding your complaint: date, service, product, issue, trade references
- The name of your TP ICAP sales representative or contact person.