

Client Complaints

Instinet Pacific Limited (“Instinet” or “we” or “us”) is a corporation (CE No ABB038) licensed by the Securities and Futures Commission to carry out regulated activities Type 1 (dealing in securities), Type 4 (advising on securities) and Type 7 (automated trading services) under the Securities and Futures Ordinance (Cap. 571) of Hong Kong.

Instinet aims to continually deliver the highest standards of service to its clients for its regulated activities. This document sets out the process where a client, user or prospective client/user (“clients” or “you”), wishes to express any dissatisfaction about Instinet’s regulated activities, its staff, or anything else acting on its behalf. You can send in your concerns either by email or in writing below.

We value our relationship with our clients and its important that we help resolve any issues you may have. Instinet is committed to supporting your experience in a way which is fair, clear and not misleading. If you have a complaint about any of our services or products, please raise your concerns by following the process outlined below.

If you are a client of an affiliate Instinet entity, you should contact the relevant affiliate regarding your complaint who will then liaise with Instinet on your behalf.

How do you file your Complaint?

Complaints should be addressed to Instinet’s Compliance Department and should include the information below:

Contacts

Email: compliancehk@instinet.com

Letter: Compliance Department, Instinet Pacific Limited, 31/F, Two International Finance Center, 8 Finance Street, Central, Hong Kong

Information to include for written Complaints.

- Client name and contact person for Instinet to send responses to
- Client contact details: postal address, e-mail address and telephone number(s)
- Information regarding the Complaint: date, service, product, issue, trade references etc.
- Resolution: your suggestion on how the Complaint can be resolved
- The name of the Instinet representative or contact person

When can you expect a response to your complaint?

When we receive your complaint, we will send an acknowledgement within 7 business days that it is being investigated. Within 21 business days of receiving your complaint we will send you either a final response or a holding response.

Where we have sent you a holding response, we will explain why we are not able to respond to your complaint in full and we will indicate when you will receive a final response with resolution of your complaint. In general, we will strive to provide you with a final response within 21 business days after the receipt of your complaint. In the event your complaint cannot be resolved within 21 business days, we will notify you and explain why we are not able to resolve your complaint in the set timeframe and indicate when we will be able to provide you with a final response.

A final response must be sent to client no later than 2 months after the receipt of your complaint. The letter will explain the result of investigation and proposed remedy. Clients have the right to refer a dispute to the Financial Dispute Resolution Center (FDRC) if the client is not satisfied with the outcome of their complaint.

If you have any questions surrounding the complaint handling procedures described in this document for regulated activities, please contact HK Compliance via the contact details set out above for further information.