

For External Use

# Complaints Handling Policy

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July 2023

Daiwa Capital Markets Deutschland GmbH



**Daiwa**  
Capital Markets

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## Version Control

Version	Date	Author(s)	Description
1	October 2018	Dirk Volke	Initial version
1.5	December 2018	Claudia Blaszczyk	First review
2.0	November 2019	Claudia Blaszczyk	Yearly review
2.1	January 2020	Claudia Blaszczyk	Some Amendments and update
2.2	August 2021	Jens Hufnagl	Periodic Review
2.3	August 2022	Jens Hufnagl	Periodic Review
3.0	July 2023	Marija Rezic	Periodic Review

## Sign Off

Version	Date	Approved by	Position	Signature
3.0	07.2023	Manabu Takahashi	Trading MD	
3.0	07.2023s	Roland Schempp	Non-Trading MD	

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# Complaints Handling Policy

## Your Complaint

We are committed to providing products and services of the very highest standards. If you feel that you have not received the products or services that you expected in any way, we would like to know so that we can investigate and further improve the service we provide.

If you have a complaint, make sure your usual contact at Daiwa Capital Markets Deutschland GmbH (“**DCMD**”) knows about it and tell them how you think it could be resolved. We will respond promptly to acknowledge your complaint and let you know when you can expect to hear further from us.

## Information we need from you

To enable us to fully investigate your complaint, please provide us with following information:

- The date the issue occurred;
- Product or service relating to the complaint;
- What occurred and how you have been affected.

## What constitutes a Complaint?

Complaints are defined as any oral or written expression of dissatisfaction, whether justified or not, from, or on behalf of, a person about the provision of, or failure to provide, a financial service or a redress determination which alleges that the complainant has suffered (or may suffer) financial loss, material distress or material inconvenience.

Complaints can be made by letter, e-mail, telephone call or personal communication (see contact details of DCMD provided below).

## What happens next?

The Compliance team has a dedicated internal procedure for managing the process of dealing with any client complaint.

The Compliance Officer (*Compliance-Beauftragter*) of the firm, an independent individual, not originally involved in the matter giving rise to the complaint, will investigate the matter fully and promptly, without any unnecessary delays.

Following which, the firm will respond setting out our position, any action taken by DCMD and your options where relevant.

If the complaint cannot be promptly remedied or you are not happy with our final decision, DCMD will advise you of any further avenue available to you under the regulatory system.

Any final reply on complaints will be given in paper form or via email unless the complainant agrees to proceed verbally.

We have complaints management policies and procedures for handling complaints. Please email [complaints@de.daiwacm.com](mailto:complaints@de.daiwacm.com) in case you require further details regarding our complaints handling process.

In case we are not able to solve your complaint in due course, we will inform you about the further handling of your complaint incl. the reasons for the delay and the expected time that will be needed to solve the complaint.

**Contact Details:**

Name: Daiwa Capital Markets Deutschland GmbH  
z.Hd. Compliance-Beauftragter  
Address: Friedrich-Ebert-Anlage 35-37  
D - 60327 Frankfurt am Main  
Germany  
Phone: +49 – 69 – 27139 – 8100  
Email: [complaints@de.daiwacm.com](mailto:complaints@de.daiwacm.com)