

## Raymond James France (“RJ France”) Complaints Policy Summary

### WHAT IS A COMPLAINT

A complaint is 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 addresses to RJ France relating to its provision of an investment service or an ancillary investment service. It is not mandatory to use the term ‘complaint’ and there is no specific requirement governing the form of a complaint.

### HOW TO SUBMIT YOUR COMPLAINT

You may address your complaint to your usual contact at RJ France who will escalate this internally as appropriate. Alternatively, should you prefer not to submit your complaint to your usual contact, you can use the following contact details:

Head of Compliance  
Raymond James France  
45 avenue George V 75008 Paris

**Telephone:** +33 1 45 64 05 01

**Email:** [europeancompliance@raymondjames.com](mailto:europeancompliance@raymondjames.com)

### HOW RJ France WILL HANDLE YOUR COMPLAINT

When you contact RJ France with a complaint, it will be examined objectively and appropriately, identifying any potential conflict of interest, while ensuring anything that may compromise the handling of the complaint is avoided. Providing as much detail as you are able will assist RJ France in resolving your complaint as swiftly and efficiently as possible. The following procedures will be followed:

- i. We will acknowledge your complaint promptly, usually within 5 business days and provide you with a copy of our internal complaints procedure;

- ii. In the acknowledgement we will inform you who will be handling the complaint;
- iii. We will keep you informed and updated with the progress of your complaint and if necessary we will contact you to explain why we are not yet in a position to resolve your complaint

### RESOLVING YOUR COMPLAINT

RJ France will endeavour to resolve your complaint fairly and at the earliest opportunity and not later than within 8 weeks of receipt of your complaint. A complaint is resolved when you indicate, either verbally or in writing, acceptance of our findings as set out in our Summary Resolution Communication or our Final Response Letter. If we do not hear from you within 8 weeks of the date of the Summary Resolution Communication or the Final Response Letter, we will consider your complaint closed. A complaint may only be dealt with under the AMF Ombudsman Service if it is brought by or on behalf of an eligible complainant ("non-professional"). Conditions and contact to the AMF Mediator are available on AMF page [www.amf-france.org](http://www.amf-france.org)

### RJ France COMPLAINTS HANDLING PROCEDURE

RJ France has a dedicated internal procedure for investigating and responding to client complaints that reflect the requirements of AMF Instruction DOC-2012-07 and Article 26 of MiFID Organisational Requirements Delegated Regulation<sup>1</sup>. Please contact us if you would like further details regarding the complaints handling procedure.

<sup>1</sup> Commission Delegated Regulation (EU) 2017/565 of 25 April 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council as regards organizational requirements and operating conditions for investment firms and defined terms for the purposes of that Directive.