Complaints Report

For the period 1st Jan 2026
to 30th June 2026

EQUINITI FINANCIAL SERVICES LIMITED

In accordance with the rules of the UK's Financial Conduct Authority ('FCA'), Equiniti Financial Services Limited ('EFSL') is required to publish data on any eligible complaints it receives during each six month reporting period where the volume of complaints received during that period exceeds a certain level.

EFSL's complaint data is currently reported to the FCA as at 1st Jan 2026 to 30th Jun 2026 each year and therefore, where required, updated complaint information about EFSL will be published on this website within two months of these dates.

Providing all customers with a high quality service and ensuring that they are treated fairly at all times.

INFORMATION ABOUT EFSL

EFSL is part of the Equiniti Group which includes Equiniti Limited ('EL'), one of the largest share registrars in the UK. EL administers share registers and employee share plans for approximately 50% of the UK's FTSE 100 and over 500 other UK listed companies which in total represent in excess of 18 million underlying shareholder and employee holdings.

EFSL, in addition to offering its own retail investment services such as internet based dealing, nominee and ISA products, provides EL's client company shareholders and employees with company sponsored, execution only, simple investment products linked to their shareholdings and employee entitlements.

These company sponsored services, such as dividend reinvestment plans, sharedealing programmes and nominee shareholding vehicles, are typically very high volume.

EFSL'S APPROACH TO HANDLING CUSTOMER COMPLAINTS

EFSL and its senior management are totally committed to providing all customers with a high quality service and ensuring that they are treated fairly at all times.

Whenever EFSL is contacted by a customer with a complaint about the service they have received, EFSL will endeavour to investigate and resolve the matter by the end of three business days following the day of receipt. If this is not possible EFSL will take the following steps:

- The complaint will be acknowledged in three working days and the customer will be kept informed of progress until all enquiries have been completed.
- The customer will be notified of the EFSL staff member who is handling their complaint together with their direct contact details. This will always be an individual who is independent of the complaint.
- We aim to resolve complaints, following assessment and investigation as quickly as possible, usually within four weeks. Most customers' complaints can be resolved quickly, but occasionally more investigation is needed, particularly if the complaint is complex in nature. If we are unable to resolve the complaint quickly, we will provide updates at regular intervals
- EFSL strives to ensure that an acceptable resolution to any complaint can be agreed with the customer. However, in isolated cases where an acceptable solution cannot be reached, the customer will be notified of the next steps they can take including reference to the Financial Ombudsman Service.
- EFSL is committed to investigating and understanding the reason behind any complaint it receives. A detailed analysis is undertaken into the root cause of every complaint to identify any points of failure and ensure robust preventive actions are implemented.

PRODUCTS COVERED BY THIS REPORT

Firm name:
Equiniti Financial Services Limited

Period covering in this report:
1st Jan 2026 to 30th Jun 2026

Brands/trading names covered:
Equiniti, EQi

COMPLAINT SUMMARY FOR THE PERIOD:
1ST JAN 2026 TO 30TH JUN 2026

Product service/ grouping	No of complaints opened by volume of business (Per 1000 accounts)	No. of complaints opened	No. of complaints closed	Percentage closed within 3 days	Percentage closed after 3 days but within 8 weeks	Percentage upheld	Main cause of complaints opened
Banking & credit cards	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Home finance	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Insurance & pure protection	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Decumulation & pensions	42.93	17	17	5.9	94.1	17.6	Other General admin/ customer service
Investments	0.56	3115	3018	45.4	54.4	27.7	Disputes over sums/charges

Contact details for complaints

If you require any further information about EFSL's complaint handling processes or would like to contact EFSL with any concerns you may have over the service you have received please use the following contact details:

Customer Resolution Team,
Equiniti Financial Services Limited,
Aspect House, Spencer Road,
Lancing, West Sussex BN99 6DA

Customer.Resolution@Equiniti.com