

**J.P. Morgan Securities LLC
COMPLAINTS HANDLING PROCEDURE**

1. Introduction

J.P. Morgan Securities LLC ("JPMS" or "the Firm") is licensed to conduct securities trading in United States markets as well as Broker Dealer services. Member [FINRA/SIPC](#), Check the background of the Firm on [FINRA's BrokerCheck](#).

J.P. Morgan Workplace Solutions is a brand name for equity compensation administration business and other financial products and services offered through Global Shares.

This document outlines how the Firm handles complaints received from clients of JPMS. We understand that clients may occasionally have cause to complain about the services we provide. When a client submits a complaint, we aim to investigate it thoroughly and resolve the issue as quickly as possible, including a response to the client within a reasonable timeframe.

2. How to make a complaint

If you are a client of the Firm and are dissatisfied with any aspect of our services you have received, you can file a complaint with us. We aim to address your concerns fairly, transparently, and promptly. To help us do this, please provide your full name, address, name of your current or former employer where you hold equity, and account number when submitting the complaint. Please also include a brief summary of the issue, relevant dates, details of any staff you contacted, any supporting documents, and your contact information in case we need to reach you.

You can submit your complaint using any of the following options:

- **Online form:** Contact Us, Helpdesk, or Service Desk page on your J.P. Morgan Workplace Solutions digital experience
- **Email:** support@globalshares.com
- **Telephone:** +1-646-968-0653
- **Mail:** JPMS Complaints Officer, 575 Washington Blvd, Floor 09, Jersey City, NJ, 07310-1616

3. The investigation process

The Firm has internal policies and procedures in place to effectively manage complaints. Once we have received your complaint, we aim to resolve it fairly, transparently, and promptly.

Upon receipt of your complaint, it will be reviewed and fully investigated to identify the most appropriate resolution.

While we strive to respond swiftly, some complaints may take longer due to complexity or the need for additional information. We aim to provide a final response within 30 days. If we cannot resolve your complaint within this timeframe, we will inform you in writing, explaining the delay and when you can expect a final response. You will also be advised of your right to refer the matter to FINRA or the Financial Services Ombudsman in Switzerland ("FINSOM"), depending on your location (further details are provided below).

4. Taking your complaint further (non-Swiss resident)

If, following completion of the Firm's complaints process, you are still not satisfied with the response, you have the right to refer the complaint to [FINRA](#). Contact details for FINRA are included below.

5. Taking your complaint further (Swiss resident)

If you are a resident of Switzerland and, following completion of the Firm's complaints process, you are still not satisfied with the response, you have the right to refer the complaint for alternative dispute resolution via FINSOM. Contact details for [FINSOM](#) are included below.

The Swiss Financial Services Act ("FinSA"), which came into effect on 1 January 2020, specifies the rules of conduct that financial service providers must adhere to in order to strengthen investor protection and increase market transparency.

Markets in Financial Instruments Directive 2014 (2014/65/EU) ("MIFID II") and FinSA apply both to financial services provided to clients domiciled in Switzerland as well as to financial services provided in Switzerland.

Therefore, if you are a resident of Switzerland, as the Firm currently provides regulated services to residents of Switzerland, the Firm is required to adhere to MIFID II and the above mentioned FinSA rules.

6. Contact Details for FINRA and FINSOM

FINRA

Online Complaint Info	-	https://www.finra.org/investors/need-help/file-a-complaint
Online Complaint Form	-	https://investor-complaints.datacollection.finra.org/view/input/section/complaintDetails
Phone	-	(833) 26-FINRA
Mailing Address	-	9509 Key West Avenue Rockville MD 20850-3329

FINSOM

Online Enquiry Form	-	https://finsom.ch/homepage/mediation-access/
Phone	-	+41 27 552 04 24
Email	-	info@finsom.ch
Mailing Address	-	Avenue de la Gare 66, 1920 Martigny, Switzerland