

Complaints Procedure

When you inform us that you feel we have failed to meet our own standards or your expectations of us and that you wish to make a formal complaint, we adopt a procedure to try to resolve your complaint quickly and efficiently.

Your complaint will be referred by the Case Handler working on your case (or his or her supervisor) to the Client Care Section of our Compliance Department. The Client Care Section works independently from the department of the firm that is handling your case, in order to provide an objective view of the matter.

We will acknowledge in writing that you have made a complaint, and state the name of our Complaints Partner (Mrs Alex Hewitt) who will oversee your complaint and the person who will personally handle your complaint (the “Client Care Officer”). The Client Care Officer, under the supervision of the Complaints Partner, will investigate your complaint to see if we have failed to meet any required standards. The Client Care Officer may need more information from you during the course of the investigation, in order that he or she can properly deal with your complaint. Therefore he or she may need to contact you to request further details or arrange a meeting with you to discuss your complaint.

The Client Care Officer will write to you with a response to your complaint within 14 days of you letting us know that you wished to make a formal complaint. In this response, the Client Care Officer will set out the findings of the investigation, suggesting what, if any, actions are required by us to remedy the situation. If there is any reason why this timescale cannot be achieved, a member of the Client Care Section will notify you of this in advance, explaining the reasons why it will not be possible to respond within this timescale and setting a reasonable alternative timescale.

If we do not hear further from you following our response, a member of the Client Care Section will contact you after another twenty-eight (28) days to check that you are satisfied with our response. If you are still not satisfied with the way your complaint has been dealt with then you may take your complaint to the Legal Ombudsman P.O. Box 15870 Tamworth B77 9LE. The Legal Ombudsman will only deal with your complaint if our internal procedure has been completed or we have not provided you with our response within eight (8) weeks of our letter acknowledging your complaint. Any complaint to the Legal Ombudsman must usually be made within six months of the date of our final written response to your complaint but for further information you should contact the Legal Ombudsman (0300 555 0333 or by email: enquiries@legalombudsman.org.uk). Further details can also be found on their website: www.legalombudsman.org.uk

We will retain details of your complaint and its outcome. This information may be used for internal training and analysis.