

Financial Services Complaints Handling Procedure

If you are in any way dissatisfied with our level of service please would you follow the procedures outlined in this Policy. It is our aim to provide the very best service to our clients. If something goes wrong we would like to know as we would hope to be able to restore goodwill.

First stage

If you are dissatisfied with the level of service provided by the Adviser having conduct of your matter please would you initially advise the Adviser concerned as to the reasons for your dissatisfaction. He or she will seek to address these.

Second stage

If you remain dissatisfied please would you contact our Client Services Manager Mrs Jacqui Smart. She is based at our Portsmouth Office and her direct line number is 02392 776567. She may also be contacted by email on jacquismart@warnergoodman.co.uk, by letter to Colman House, 2-4 Landport Terrace, Portsmouth, PO1 2RG or by arrangement, in person.

Our Client Services Manager will:-

1. Ask you to provide details of your complaint.
2. Investigate the complaint on your behalf.
3. Report back to you within two working days with:-
 - Her findings and her proposals to seek to resolve your complaint
 - or
 - If for any reason she is unable to conclude her investigation within two working days, her explanation as to why she has not been able to conclude her investigation and her proposed alternative timescale
 - or
 - Her advice that your complaint has been passed to the firm's Compliance Officer.

Compliance Officer

Our Compliance Officer is Mr William Ware. He is the firm's Senior Partners and is based at our Fareham office.

Our Client Services Manager will refer your complaint to our Compliance Officer if: -

1. She concludes it is appropriate to do so.
2. You are dissatisfied with her proposals or recommendations and instruct her to do so.

What will happen next?

If and when a complaint is received by the Compliance Officer he will: -

1. Send you a letter acknowledging your complaint within two working days of receipt enclosing a copy of the firm's Complaints Policy.
2. Advise you either that he will investigate the complaint personally or he will provide you with the name of the person who will be dealing with your complaint.
3. Record your complaint in our Central Register and open a file for your complaint.

Once enquiries have been finalised the Compliance Officer will: -

- Invite you to discuss matters further with him
or
 - Write to advise you as to the extent to which (if at all) he acknowledges the validity of your complaint to include (where appropriate) his proposals to seek to restore goodwill
4. Within 8 weeks of receiving your complaint, we hope to be in a position to provide you with our final decision letter but if we are not in a position to do so at this time, we will write to you with an explanation as to why we have been unable to complete our investigations and at this stage you will be entitled to refer your complaint to the Financial Ombudsman Service. We will continue to investigate your complaint until we are in a position to send you our final decision letter.

If the Compliance Officer was involved in the matter which gave rise to the complaint an independent Partner will handle it.

Further review

For complaints relating to advice given after 1 December 2001, if you still remain dissatisfied you can refer your complaint to the Financial Ombudsman Service and a copy of the Financial Ombudsman Service leaflet 'your complaint and the Ombudsman' will be sent to you. The Financial Ombudsman Service can be contacted at: The Financial Ombudsman Service, Exchange Tower, London, E14 9SR or by telephone number 0800 0234 567. Please

note that any referrals to the Financial Ombudsman Service should be made within 6 months of receipt of the firm's final decision letter.

If your complaint however relates to advice given prior to 1st December 2001, you should refer matters to the Legal Ombudsman who can be contacted on 0300 555 0333 or by emailing enquiries@legalombudsman.org.uk.

Regulated by The Solicitors Regulation Authority

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