

DELMORE ASSET MANAGEMENT LIMITED

COMPLAINTS HANDLING PROCEDURES

Introduction

As part of our ongoing commitment to quality and control, and to comply with our regulatory obligations, we have established procedures to ensure that any complaints received from former, potential or existing customers are dealt with in a timely and satisfactory manner.

The Financial Conduct Authority (“FCA”) and the Financial Ombudsman Service (“FOS”)

We are regulated by the FCA (Registered Number 170443), a body which was established by Parliament to regulate the activities of, amongst others, banks and financial institutions.

As part of its statutory obligation, the FCA has established the Financial Ombudsman Service which has the power to consider, arbitrate and settle complaints against authorised firms in the event that the parties concerned have been unable to resolve the matter between themselves.

People who may complain to the FOS must be “eligible complainants” and who are either private individuals or businesses whose annual turnover is less than £1m.

Your right of complaint

As our customer, you have the right to complain to us if you believe that you have suffered financial loss, material distress or inconvenience because of actions taken by our employees during their employment.

Our Complaint Process

When we receive a complaint from you, we will take the following steps towards resolving your complaint:

Within 5 working days

- We will consider the grounds of your complaint and provide a suitable explanation and/or offer appropriate redress by way of an apology or financial compensation, or if we cannot resolve the complaint, then

Within 10 working days

- We will provide you with a written acknowledgement of receipt of your complaint, and
- If we have still not been able to reach a conclusion within this time we will write to you explaining why we have not and we will tell you when we expect to be able to reach a conclusion.
- If you are not eligible to complain to the FOS then we will tell you.

Within 4 weeks of receipt of your complaint

- We will reply to you and provide an explanation of the action we took, including any advice given to us, as a means towards resolving the complaint and we will further offer redress by way of an apology and compensation, if appropriate.

Within a further 4 weeks (8 weeks from receipt of the original complaint)

- We will write to you with our final response, explanations and any offer for redress if you have not received a reply from us that is satisfactory to you within 8 weeks, then you are entitled to refer the matter to the Financial Ombudsman Service. If our final letter is not satisfactory you must let us know and we will provide you with a formal letter of deadlock.

If you are dissatisfied with the way we will have handled your complaint, you may refer the matter to The Financial Ombudsman Service. The Ombudsman can only consider a case when Delmore’s own complaints procedure has been exhausted and provided you refer your case within six months of Delmore’s final response.

The Financial Ombudsman Service provides a free, independent and unbiased assessment of complaints referred to it. We generally regard the Ombudsman’s findings as binding. You are, however, still able to take private legal action if you do not agree with the Ombudsman’s conclusion.

To make a complaint to Delmore, please contact us using one of the methods below:

Delmore Asset Management Ltd

Howard D Goldring
7 Harmood Grove
London NW1 8DH
Tel: 020 7224 2889
Email: howard.goldring@delmore.co.uk

To make a complaint to the Financial Ombudsman Service please contact them using one of the methods below:

The Financial Ombudsman Service

Financial Ombudsman Service
Exchange Tower
Harbour Exchange Square
London E14 9SR
Tel: 0800 0234 567
Switchboard: 020 7964 1000
Email: complaint.info@financial-ombudsman.org.uk

Delmore’s Regulatory Body

Financial Conduct Authority
25 The North Colonnade
Canary Wharf
London E14 5HS
Switchboard: 020 7066 1000
Website: www.fca.gov.uk

Delmore Asset Management Registered Office: Delmore Asset Management Limited, 7 Harmood Grove, London NW1 8DH.

Delmore is authorised and regulated by the Financial Conduct Authority No.170443