



tavistock

INVESTMENTS PLC

REVOLUTIONARY THINKING

Complaints Procedure



General

We expect our all at Tavistock to provide a first-class service to clients at all times, but if you are dissatisfied, we will seek to investigate the matter swiftly. It is Tavistock's policy to provide you with an effective and efficient response to complaints. If applicable, Tavistock's investigation will be undertaken independently of the adviser about whom a complaint has been made.

What are complaints?

Our regulator defines complaints as any verbal or written expression of dissatisfaction, from or on behalf of a person, about the provision of or failure to provide a financial service, which alleges that the complainant has suffered or may suffer financial loss, material distress or material inconvenience.

If you ever have any reason to complain, please contact:

Complaints Officer
Tavistock Investments Plc
2nd Floor, 1 Queens Square
Ascot Business Park
Lyndhurst Rd
Ascot
SL5 9FE

Tel: 01753 867000 (ask for the complaints officer)

Email: compliance@tavistockinvestmentsplc.com

When you contact us, please include:

- Your full name and address.
- The name and address of the adviser you have had dealings with.
- A full explanation of the reason for your complaint.
- If you are happy to discuss the issue on the telephone, please provide a daytime contact number so we may contact you should further information be required.

Procedure

We will do all we can to resolve your concerns within 3 business days and confirm this to you in writing. If we cannot do this, we will adopt the following procedure.

- We will acknowledge the complaint by letter within five working days, setting out the expected timeframes.
- We will provide you with a copy of this complaints procedure and will investigate the complaint independently.
- We will try our best to resolve your complaint within four weeks. If we need more time, we will keep you informed of our progress. We will then write to you within eight weeks of the acknowledgement with a final response or an update on the progress of our investigations and the options available to you.



Please bear in mind that if your complaint involves information from third parties some delays could be beyond our control. We will, however, pursue information on a regular basis.

Resolving

At the end of the investigation, we will provide you with a report, which will generally form the basis of our decision. This letter will either uphold or reject the complaint and will set out the next steps you may take if you are dissatisfied with our conclusion.

If you are not satisfied

In the event that you are still dissatisfied, you may be able to refer your complaint to the Financial Ombudsman Service. The service is part of the Government's protection for clients receiving advice within the Financial Services industry.

Financial Ombudsman Service
Exchange Tower
London
E14 9SR
Tel: 0800 023 4567

Email: complaint.info@financial-ombudsman.org.uk
Website: www.financial-ombudsman.org.uk

Using a solicitor or third-party complaint handling firms

We have made our complaints handling procedure simple to follow, so it should not be necessary for you to use a solicitor or seek professional help. If you choose to employ a third-party complaint-handling firm, a Solicitor or Financial Adviser with the relevant regulated complaint handling permissions, this does not affect how we review your complaint.

However, please be aware that:

- Tavistock will not charge you to investigate your complaint.
- Tavistock will not be liable for any costs incurred if you decide to employ a third party to handle your complaint during this review.
- Tavistock will only make payment directly to you if your complaint is upheld and redress is due.

Financial Services Compensation Scheme (FSCS)

Tavistock is covered by the FSCS. You may be entitled to compensation from the scheme if we cannot meet our obligations. This depends on the type of business and the circumstances of the claim. Further information about compensation scheme arrangements is available from the FSCS.

Which complaints are we responsible for?

Tavistock Investments PLC will investigate complaints made against the following companies:

- The Tavistock Partnership Limited and its Appointed Representatives
- Tavistock Partners (UK) Limited, trading as Abacus Associates Financial Services
- Tavistock Partners Limited and any applicable trading styles.



- Tavistock Private Client Limited and any applicable trading styles.
- Tavistock Financial Limited and its Appointed Representatives (for advice given between 12th February 2015 –26th October 2017 only)

In the event that we receive a complaint that is not about the advice received or service provided by the above-named entities, and, assuming that we can identify the firm to whom the complaint should be addressed, we will write to the firm concerned, explaining that we believe the complaint in question to be their responsibility, and suggesting that they contact you directly.

In this correspondence, we will enclose a copy of your original complaint letter. We will also provide you with a copy of the letter sent to the relevant firm and their contact details, so you may approach them directly.

Please contact us if you have any questions regarding this document.