

How we deal with your complaint

Mattioli Woods aims to always provide you with excellent service. However, we understand things can sometimes go wrong, or you may become unhappy with aspects of our service. If this happens, we will do our best to resolve your issues as quickly as possible. We always try to reach an agreeable solution as quickly as possible, with our aim to have your complaint resolved within three business days following receipt. Business days are Monday to Friday excluding Bank Holidays. Some complaints are more complex than others and may take some time to investigate, so it may not be possible to resolve your complaint within this timescale. If this is the case, the following process will be followed:

Acknowledgement

We will write to acknowledge your complaint within five working days of receipt enclosing/attaching a copy of this complaint handling procedure confirming our understanding of the issue(s).

This acknowledgement will be sent by post or email, if we hold your email address on record. We may sometimes call you if we need to clarify our understanding of your issues.

Investigation and resolution

The Client Experience team will thoroughly investigate all your issues to ensure a fair and impartial outcome is reached. We will obtain information required from all relevant parties and we may need to ask you for some additional details to assist in the investigation.

We will keep you informed of our progress with the investigation and provide you with an update, explaining we aim to have a response to you within the eight-week regulatory timescale.

When we have completed our investigation, we will write to let you know the outcome. The final response will set out the facts that have been established and the outcome along with any resolution offered where appropriate.

If we are unable to respond in full within eight weeks, we will write to you explaining why we are not able to issue a final response and when this might be expected.

This letter will also inform you of your right to refer your complaint to the Financial Ombudsman Service (FOS), or The Pensions Ombudsman (TPO), if applicable.

Further information

If you have any concerns or wish to discuss your complaint, please contact us:

Client Care Team

Mattioli Woods Limited
1 New Walk Place, Leicester, LE1 6RU

T: 0116 240 8700

E: clientcare@mattioliwoods.com

Your rights

You may have the right to refer your complaint to TPO or the FOS free of charge, but there are time limits for doing so.

Complaining to either of these organisations will not affect your right to take legal proceedings/civil action.

If you are unhappy with our final response, or if more than eight weeks have passed since we received your complaint, you may be able to ask the FOS or TPO to review your complaint. Both organisations usually expect clients to allow us to address their complaints before contacting them, unless there has been an undue delay.

TPO deals with complaints and disputes that concern the administration and/or management of occupational and personal pension schemes. TPO can be contacted at:

The Pensions Ombudsman

10 South Colonnade, Canary Wharf, E14 4PU

T: 0800 917 4487

E: enquiries@pensions-ombudsman.org.uk

W: www.pensions-ombudsman.org.uk/

You can also submit a complaint form online at www.pensions-ombudsman.org.uk/making-complaint

Contact with TPO about a complaint needs to be made within six years of when the event(s) you are complaining about happened, or, if later, within three years of when you first knew about it (or ought to have known about it). There is discretion for those time limits to be extended.

MoneyHelper is a free service provided by the Money and Pensions Service, an arm's-length body sponsored by the Department for Work and Pensions. MoneyHelper was created in 2021 and they provide free and impartial money and pensions guidance for people across the UK. For further information, please visit www.moneyhelper.org.uk

Where your complaint concerns the marketing of our products or the financial advice provided, you have the right to refer your complaint to the FOS free of charge, who provides consumers with a free independent service for resolving disputes with financial services firms.

The Financial Ombudsman Service

Exchange Tower, London, E14 9SR

T: 0800 023 4567

W: www.financial-ombudsman.org.uk/

Please note you must contact the FOS within six months of the date of our final response letter. If you do not refer your complaint in time, the Ombudsman will not have our permission to consider your complaint and so will only be able to do so in very limited circumstances.

Taking a robust approach to complaints underpins Mattioli Woods' commitment to deliver the best outcomes for our clients, in line with the principles of, and our commitment to the Consumer Duty regulations.