

MATTIOLI WOODS PLC

COMPLAINT HANDLING PROCEDURE

How we deal with your complaint

Mattioli Woods aims to provide you with excellent service at all times. 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. Our process is as follows:

1

Acknowledgement

We will write to acknowledge your complaint within 3 working days of receipt enclosing a copy of this complaint handling procedure confirming our understanding of the issues(s).

This acknowledgement could 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.

2

Investigation and resolution

The client experience team will thoroughly investigate all of 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.

If we are unable to respond in full to your complaint within 4 weeks of receipt, we will write to explain why and let you know when we expect to issue a final response.

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 8 weeks, we will write to you explaining why we are not in a position to issue a final response and when this can 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.

3

Further information

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

Client Experience Team

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

T: 0116 2408700

E: clientcare@mattioliwoods.com

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Your rights

You may have the right to refer your complaint to The Pensions Ombudsman (TPO) or the Financial Ombudsman Service (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 8 weeks have passed since we received your complaint, you may be able to ask the FOS or TPO to review your complaint. Both Ombudsman 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 which 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/our-service/make-a-complaint/.

Contact with The Pensions Ombudsman about a complaint needs to be made within three 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.

If you have general requests for information or guidance concerning your pension arrangements, contact:

The Pensions Advisory Service
11 Belgrave Road
London, SW1V 1RB

T: 0800 011 3797
W: www.pensionsadvisoryservice.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 Financial Ombudsman Service (FOS) free of charge, who provide consumers with a free independent service for resolving disputes with financial firms.

The Financial Ombudsman Service
Exchange Tower
London, E14 9SR

T: 0800 0234567
E: complaint.info@financial-ombudsman.org.uk
W: www.financial-ombudsman.org.uk

Please note you must contact the FOS within 6 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.