

66 West Street, Fareham, Hampshire, PO16 0JR
Telephone: 01329 288121 Fax: 01329 822714

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. Mrs Smart is based at our Portsmouth Office and her direct line number is 02392 776567. Mrs Smart 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.

Within 2 working days our Client Services Manager will:

1. Acknowledge receipt of your complaint and ask you to provide full details of your complaint if you have not already done so;
2. Provide you with a copy of the firm's Complaints Policy;
3. Notify our Compliance Officer who will investigate your complaint.

Compliance Officer

Our Compliance Officer is Mr Andy Munden and he is based at our Fareham Office. He is also the Firm's Managing Partner and Quality Partner and has also been appointed as the Firm's Compliance Officer for Legal Practice. Andy Munden has overall responsibility for the handling of any complaints.

What will happen next?

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

1. Record your complaint in our Central Register and open a file for your complaint.
2. Liaise with all parties involved and investigate the complaint further.

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
3. 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.
 4. We shall deem the matter closed when our Final Decision Letter has been issued or where you have accepted our earlier response.

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 is regarding a pension contract, the Pension Ombudsman can consider complaints about the administration of personal and group personal pensions as well as occupational schemes. You have the right to refer your complaint to The Pensions Ombudsman free of charge. The Pensions Ombudsman can be contacted at 10 South Colonnade, Canary Wharf, E14 4PU, Telephone 0800 917 4487 or www.pensions-ombudsman.org.uk

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
Authorised and Regulated by The Financial Conduct Authority

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