



Whateley

W E A L T H M A N A G E M E N T

DEALING WITH
YOUR COMPLAINT

Whateley Wealth Management Ltd
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Whateley Wealth Management Ltd is authorised and regulated
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Table of Contents

Complaints Process

Dealing with your Complaint	3
Introduction	3
Registering a Complaint	3
Acknowledge your complaint	3
Other Parties	3
Feedback on your Complaint	3
Your access to Further Action.....	3
Investigations taking more than 3 days.....	4
Investigations taking more than 8 weeks.....	4
Pension Contracts	4
Our Commitment.....	5
Upheld Complaints.....	5
Closure	5

The Financial Conduct Authority (FCA) regulates financial services in the UK and you can check our authorisation and permitted activities on the Financial Services Register by visiting the FCA’s website www.fca.org.uk/firms/systems-reporting/register or by contacting the FCA’s website www.fca.org.uk/firms/systems-reporting/register or by contacting the FCA on 0800 111 6768. Our Financial Services Register number is 715678

Dealing with your Complaint

Introduction At Whateley Wealth Management Ltd, our aim is always to provide you with a first-class standard of service and the highest standards of advice. However, there may be occasions when you feel that these objectives have not been achieved. We take all complaints seriously and will deal with your concerns in the following manner:

Registering a Complaint You may register a complaint via email, letter, the complaint form on our website, in person or on the telephone (please note that all calls are recorded).

Acknowledge your complaint We will acknowledge your complaint, promptly, following receipt. We will provide you with a copy of this document. Our written acknowledgement of your complaint will set out our understanding of your complaint.

Other Parties If we have reasonable grounds to be satisfied that another firm may be solely or jointly responsible for your concerns arising, we will promptly forward the complaint or the relevant part of it to that firm. We will write to you to confirm our actions and provide contact details of the firm concerned.

Feedback on your Complaint Where we are able to resolve your complaint within **3 full business days** following receipt, and this is to your satisfaction, we will issue a written summary of our findings and conclusion.

Your access to Further Action If having received this letter you remain dissatisfied, you may refer the issue to the Financial Ombudsman Service (FOS) who can be contacted at:

The Financial Ombudsman Service
Exchange Tower, London
E14 9SR

Telephone: 0800 0234 567

Online: www.financial-ombudsman.org.uk.

We will also provide you with a copy of the Financial Ombudsman Service leaflet; 'your complaint and the ombudsman'.

Continued on next page

Dealing with your Complaint, Continued

Investigations taking more than 3 days

If your complaint cannot be resolved within the initial 3 day period we will ensure that you are kept informed of our progress with regard to the investigation.

We will endeavour to send you our Final Decision Letter, addressing your concerns and providing you with our decision within 8 weeks – or keep you informed if it is not resolved before then.

Investigations taking more than 8 weeks

If our investigation is still ongoing after 8 weeks, we will send you confirmation of this in writing – along with an explanation as to why we haven't been able to complete our investigations within this timescale.

We will also give you an indication when you can next expect contact from us and a copy of the FOS's leaflet referred to above.

At this stage you will be entitled to refer your complaint to the Financial Ombudsman Service (see details above).

Pension Contracts

If your complaint is regarding a pension contract then this can be referred to the Pension Ombudsman. The Pension Ombudsman can consider complaints about the administration of:

- Personal and group personal pension schemes
- Occupational pension schemes

You have the right to refer your complaint to the Pension Ombudsman by any of the following methods:

Post:

The Pension Ombudsman
11 Belgrave Road
London
SW1V 1RB

Telephone: 0800 917 4487

Online: www.pensions-ombudsman.org.uk

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Dealing with your Complaint, Continued

Our Commitment

We will continue to investigate your complaint until we are in a position to send you our final decision letter.

Upheld Complaints

If your complaint is upheld, we will provide you with fair compensation for any acts or omissions for which we are responsible, once you have accepted our decision.

If you are not satisfied with the outcome of your complaint, you can refer the matter to the FOS (see details above).

Please note you must refer the matter to them within 6 months of the date of our Final Decision Letter.

Further details about this will be confirmed on the FOS's leaflet.

Closure

We shall deem the matter to be closed when our Final Decision letter is issued – or where you have accepted our earlier response.
