

## **ALVARIUM UK COMPLAINTS MANAGEMENT POLICY**

### **COMPLAINTS PROCEDURES**

#### **Introduction**

At Alvarium we value our clients and aim to provide the highest possible levels of service in order to maintain a long-term relationship that is open, transparent and based on trust. Even so, we appreciate that there may be occasions where we may get things wrong, and clients wish to raise a complaint.

As a client, you have a right to lodge a formal complaint and the procedures summarised in this document have been established to deal with this eventuality. These procedures enable us to respond in a fair and impartial way to clients and other connected parties, who express dissatisfaction about our firm's provision of, or failure to provide, a financial service.

#### **Making a Complaint**

All information provided to Alvarium is confidential.

If you have a complaint with the way that we have provided, or have failed to provide, a financial service we ask that you contact the Chief Compliance Officer at the following address either by letter or telephone to outline your concerns:

Chief Compliance Officer  
Alvarium  
10 Old Burlington Street  
London  
W1S 3AG  
e-mail: [marc.cane@alvariuminvestments.com](mailto:marc.cane@alvariuminvestments.com)  
Telephone: 020 7195 1400

#### **What happens next?**

We will send a prompt written acknowledgement of your complaint, usually within three business days of receipt. If the nature of the complaint is unclear, we may telephone or write to you to clarify the area(s) of concern.

We will then carry out a full investigation by gathering the information needed to properly review your complaint. This may mean that we ask you for more information or papers to assist us in the investigation.

In our experience, gathering all the facts and paperwork enables us to consider all the information available at the time, which is in the best interests of reviewing a complaint comprehensively. If we do need to request details from you, we therefore ask that you respond as fully and as soon as possible.

The complaint may be either wholly, or in part, the responsibility of another firm. In these circumstances we will promptly refer the complaint to the other firm, inform you of this fact together with the other firm's contact details. We will also confirm that we are either investigating matters further or issue a final decision letter

We will endeavour to fully investigate your complaint and respond to you within eight weeks of receipt. During this time we will keep you informed of the progress of the measures being taken to resolve your complaint.

If we are still unable to respond within eight weeks, we will write to you again to advise why and provide information on the Financial Ombudsman Service ("FOS"), which is a free, independent dispute resolution service, to whom you may wish to take your complaint.

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Once we have all the information needed, we will consider the complaint fairly and impartially and provide a written response indicating our decision. Depending upon the nature of the investigation and the time that has lapsed since receipt of the investigation, the letter will consist of either of our initial view or a final decision. If the letter takes the form of our initial view, we will inform you of this and you may accept our view or reject it, in which case we will re-visit your complaint in light of any additional comments made. If you do not respond, we will treat the complaint as closed.

If your complaint is not resolved to your satisfaction, then you may be entitled to refer your complaint to the FOS. You must contact the FOS within six months of the date of the letter in which we communicate our final decision to you otherwise you may lose the right to bring the complaint to the FOS. In our final decision letter, we will always provide you with full information about how to do this.

If you require any clarification on our complaint procedures, please do not hesitate to contact us.

Contact details for FOS are as follows:

Financial Ombudsman Service

Exchange Tower

London

E14 9SR

Free phone: [0800 023 4567](tel:08000234567)

Low-cost phone: [0300 123 9123](tel:03001239123)

Email: [complaint.info@financial-ombudsman.org.uk](mailto:complaint.info@financial-ombudsman.org.uk)

Website: [www.financial-ombudsman.org.uk](http://www.financial-ombudsman.org.uk)

Please check the FOS website to determine whether you are an eligible complainant.

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