

Sinclair Goldberg Price Limited

Complaints Handling Procedure

Overview

This procedure is designed to facilitate the prompt recording, investigation and resolution of complaints received from consumers or businesses dealing with Sinclair Goldberg Price Limited (SGP). The policy has been designed from the guidance provided in this regard by the Financial Conduct Authority (FCA).

How to Complain to SGP

A complaint can be made verbally or in writing. For the avoidance of doubt over the nature of the complaint, SGP requests that complaints are submitted in writing either by letter or email.

Written complaints should be addressed to:

Client Liaison Manager, Sinclair Goldberg Price Limited, Brook House, 243 Brook Street, Birkenhead, Wirral, CH41 3SE.

E-mail complaints can be sent to: info@sinclairgoldbergprice.com

If you wish to make a formal complaint without putting it in writing, you must state clearly to our member of staff that this is a formal complaint and the nature of your complaint. The staff member will record the nature of your complaint and refer the complaint to management following the call.

We strongly recommend that all complaints are made via email or letter to ensure they are accurately received.

Acknowledgement of Complaints

SGP will acknowledge receipt of your complaint either by the same method you used to submit the complaint or by letter at our discretion within 7 days of receipt.

Investigation and Resolution of Complaints

Complaints will be investigated by the Client Liaison Manager or, where the complaint subject is a member of management, by a more senior member of management or Director.

The investigating person shall assess fairly, consistently and promptly what the complaint is about, whether it should be upheld and what action should be taken and /or what redress is appropriate.

The investigating person shall provide fairly and promptly a clear assessment of the complaint and, if appropriate, an offer of redress or remedial action. Any such offer that is accepted will be settled promptly.

Final Response

We will issue our final response in writing as soon as is reasonably practicable following completion of the investigation. It is our intention to provide such a response within 14 days of receiving the complaint. Where this is not possible, we will provide an update and/or an assessment of when we expect to be able to provide a response.

Notwithstanding the above, we will ensure that all complaints receive a final written response within 8 weeks of receiving a complaint as per the FCA Guidance.

Our final response will:

- State whether the complaint has been upheld
- Where appropriate offer redress or remedial action
- Enclose a copy of the Financial Ombudsman Service explanatory leaflet and
- Inform the complainant that if they remain unhappy they may now refer the complaint to the Financial Ombudsman Service and must do so within 6 months.