



James Brearley

Investment Managers & Stockbrokers

Established 1919

Making a Complaint

COMPLAINT PROCEDURES

At James Brearley we aim to handle your investment instructions promptly and accurately and strive to deliver high levels of service. If we make mistakes, we seek to resolve your complaint as quickly as possible. We have a procedure designed to resolve your complaint fairly.

1. We will address your complaint as quickly as possible.

We will send an acknowledgment of your complaint to you when we receive it.

Your complaint will be investigated and a response given as soon as possible. The exact time scale of investigation will depend on how long it takes to assess the subject matter relevant to the complaint. A more detailed complaint will be answered within 4 weeks of receipt, or a reason will be given for any extra time that is needed.

2. We will ensure that your complaint is handled fairly and openly.

Your complaint will be dealt with by our Compliance Team who will provide you with a full response to your complaint:

- › Addressing all of the issues you raise
- › Providing a decision as to the outcome of your complaint and
- › Providing you with the reasons for this decision.

3. If you are not satisfied with our response.

In the event that we are unable to resolve your complaint to your satisfaction you may have the right to take your complaint to the Financial Ombudsman Service (FOS).

When the Compliance Team provides their final response to your complaint they will send you a copy of the Financial Ombudsman Service Leaflet which should assist you in progressing your complaint in this manner should you so wish.

If you wish to refer your complaint to the FOS their details are overleaf.

HOW TO MAKE A COMPLAINT

If you are unhappy with our services, to make a complaint you can;

Email us at: enquiry@jbrearley.co.uk

Call us on: 01253 831100

Write to us at: PO Box 34, Walpole House, Unit 2 Burton Road, Blackpool, FY4 4WX

You can contact the Compliance team directly using the above contact information, or speak to any member of our staff and they will pass your complaint on to be dealt with under our complaints procedure.

If you wish to refer your complaint to the Financial Ombudsman Service following our decision, you can contact them at:

Financial Ombudsman Service
Exchange Tower
London
E14 9SR

Or you can visit their website: www.financial-ombudsman.org.uk/