

Sanford DeLand

ASSET MANAGEMENT

Business Perspective Investors

Sanford DeLand Asset Management Ltd, 7 Park Row, Leeds LS1 5HD
T: 0113 350 1820 E: contact@sanford-deland.com W: sanford-deland.com

Complaint Guide

OUR COMMITMENT

Sanford DeLand Asset Management Limited ('SDL') takes its obligations seriously and is naturally disappointed when things go wrong and individuals or organisations have cause to complain. SDL is therefore committed to ensuring it has established, implemented and maintains effective and transparent complaint management policies and procedures for the prompt handling of complaints. Our intention is always to ensure, where appropriate and warranted, we are able to put matters right as quickly as possible and to put in place arrangements to ensure the same or similar issues should not happen again.

CONTACTING US

If you are unhappy with any aspect of our service, including, but not limited to financial loss, material distress or material inconvenience, you may bring a complaint in writing or by telephone.

Post

Complaints Officer, Sanford DeLand Asset Management Limited, 7 Park Row, Leeds LS1 5HD

E-mail

Compliance@sanford-deland.com

Telephone

0113 350 1820

You must provide us with your full name and address. If you have asked us to contact you by telephone, please let us know a convenient time for us to do so.

INFORMATION REQUIREMENT

We will need to understand the nature of your complaint in detail and the steps you consider we should take to put matters right. If you have any documents or other papers relevant to your complaint, you should provide these to us.

In certain circumstances, we may contact you to discuss your complaint further, including gathering any additional information from you that we consider may be required to aid our understanding of your complaint.

ACKNOWLEDGING YOUR COMPLAINT

We will acknowledge your complaint within **five business days** following the day of receipt of your complaint.

RESOLVING YOUR COMPLAINT

We will aim to resolve your complaint promptly and in any event **within eight weeks** of receipt by us of your complaint. At all times, we will seek to ensure you are kept up to date with the progress of your complaint.

When we consider your complaint resolved, we will provide to you a **final response letter**, a copy of this Complaint Guide and a copy of the Financial Ombudsman Service leaflet, 'Want to take your complaint further?' Information about the Financial Ombudsman Service is provided below.

THE FINANCIAL OMBUDSMAN SERVICE

If we are unable to resolve your complaint to your satisfaction, or if we are unable to provide you with a written response within eight weeks of the receipt of your complaint, you may, depending on your circumstance, be able to refer your complaint to the Financial Ombudsman Service.

The Financial Ombudsman Service was set up by Parliament to sort out complaints between financial businesses and their customers and has been doing so since being established in 2001. The Financial Ombudsman Service is completely independent and is available free-of-charge to consumers.

Should you choose to refer a complaint to the Financial Ombudsman Service, you will usually have six months to do so from the date of our **final response letter**. If you do not refer your complaint in time, the Financial Ombudsman Service may not be able to consider your complaint.

CONTACTING THE FINANCIAL OMBUDSMAN SERVICE

The Financial Ombudsman Service may be contacted in writing or by telephone.

Post

Financial Ombudsman Service, Exchange Tower, London E14 9SR

E-mail

complaint.info@financial-ombudsman.org.uk

Telephone

0800 023 4567 (free but charges may apply if called from a mobile)

0300 123 9123 (calls to this number cost no more than calls to 01 and 02 numbers)

+44 20 7964 0500 (if calling from abroad)