

SVM Complaint Handling Procedure



Issue Date: July 2019

What should I do if I have a complaint?

SVM aims to provide a high standard of investment management services to customers. SVM is committed to dealing with complaints promptly and objectively. If you are at all unhappy regarding the level of service you receive from us or our service providers please let us know so that we can take steps to investigate and resolve the matter as soon as we can.

How should I contact SVM to complain?

You can write to us at either of the following addresses;

Product Administration

SVM Asset Management Ltd
PO Box 11967
Chelmsford
CM99 2DS

Head Office

SVM Asset Management Ltd
7 Castle Street
Edinburgh
EH2 3AH

You can call our Investor Services Helplines on 0345 358 1108 (administrators) or 0800 0199 440 (head office). Please be aware calls may be recorded for training and quality purposes. You can also email us at info@svmonline.co.uk.

Complaints can only be made in English.

How will you handle my complaint?

Your complaint will be investigated promptly, impartially and thoroughly. If your complaint can be resolved within 3 business days after the receipt of your complaint we will send you a Summary Resolution Communication detailing the complaint raised and why we consider it resolved together with details of how you can refer your complaint to the Financial Ombudsman Service if you are dissatisfied with the resolution of the complaint.

If your complaint cannot be resolved within 3 business days after receipt we will send you a written acknowledgement together with a copy of these procedures, if we cannot send you a full response at that time.

If it is not possible to provide a full response to you within four weeks, we will write to you with an indication of when we expect to provide such a response.

In the unlikely event that we are unable to resolve your complaint within eight weeks, we will inform you in writing and let you know when we expect to finalise matters. We will also provide you with details of the Financial Ombudsman Service together with an explanatory leaflet. This will enable you, should you wish, to refer your complaint to the Ombudsman if you are dissatisfied with the delay.

If, on receipt of our final response, you should be dissatisfied with our conclusions you may, if you wish, refer the matter to the Financial Ombudsman Service.

At all times the Head of Compliance will be kept informed of your complaint and its resolution.

Is there a charge?

No. We will not levy any charges for receiving, investigating or responding to a complaint.

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What action should I take if I am dissatisfied with the final response?

If, on receipt of our final response, you should be dissatisfied with our conclusions you may, if you wish, refer the matter to the Financial Ombudsman Service. This option will be available to you during the six months following our final response and we will provide you with an explanatory leaflet to assist such a referral.

Financial Ombudsman Service

Mail

Exchange Tower
Harbour Exchange
London
E14 9SR

Telephone

0800 023 4567

Email

complaint.info@financial-ombudsman.co.uk

Website

www.financial-ombudsman.org.uk

Complaints relating to investment performance will not usually be considered by the Ombudsman. Professional clients and eligible counterparties may not meet the definition of an 'eligible complainant' and therefore will not have access to the Financial Ombudsman Service.

All complainants also have the right to pursue a civil action.

Complaints made by professional clients and eligible counterparties

Complaints received from professional clients and eligible counterparties will be handled in the same way as complaints received from retail clients. Professional clients and eligible counterparties may not meet the definition of 'eligible complainant' and therefore may not have access to the Financial Ombudsman Service.

Publication of information relating to complaints

SVM submits six-monthly complaints returns to the FCA. SVM will cooperate fully with any requests for complaint information from the FCA. Requests for complaint information received from the public will be handled on a case-by-case basis.