



PORTFOLIOMETRIX

UK COMPLAINTS RESOLUTION POLICY

VERSION 1.12





1 OVERVIEW

We value your support as a client and place a strong emphasis on maintaining a long-term relationship with you. We encourage you to address any complaints, queries and concerns to our Complaints Officer on complaints@portfoliometrix.co.uk.

2 PURPOSE

PortfolioMetrix Asset Management Limited (“**PortfolioMetrix**”) is authorised and regulated in the United Kingdom by the Financial Conduct Authority (“**FCA**”) (FCA No. 564162). As such we have certain specific duties to you, our clients. One of these duties is to establish and have a formal complaints resolution procedure to enable you to exercise your rights. The purpose of this document is to inform you of this procedure and the steps that you must follow in order to submit a formal complaint to us. Please be aware that our internal complaints resolution procedure may be amended or cancelled by us at any time.

This document can be found at our offices at:

66 Buckingham Gate, London SW1E 6AU

Or you can contact us at:

Telephone: +44 207 965 7533

Email: info@portfoliometrix.co.uk

3 OUR COMPLAINTS RESOLUTION PROCEDURE

3.1 When Submitting a Complaint to Us

If PortfolioMetrix or any of its representatives have provided you with discretionary investment management services that you are dissatisfied with, you must submit your complaint to us in writing by sending us a letter to our registered office address referred to above or by sending us an e-mail to complaints@portfoliometrix.co.uk. Please ensure that you obtain and keep appropriate proof of delivery of your complaint to us.

Your complaint should contain the following information:

1. Your name, surname and contact details;
2. A complete description of your complaint which should include sufficient facts, dates and supporting documentation to enable us to quickly deal with your complaint;
3. The name of the person who provided you with the discretionary investment management service;
4. The date on which the service complained of happened;
5. How you would prefer to receive communication from us regarding your complaint

3.2 Our Procedure when Receiving your Complaint

The time periods set out in this procedure will be adhered to as strictly as possible. However, we may vary these time periods if necessary.

The procedure we will adopt and how we will handle a complaint once it is received by us, is the following:

1. Upon receipt of your complaint, we will send you written acknowledgement of receipt of the complaint as soon as practically possible (usually within 5 working days). In this initial response, we will confirm our understanding of the complaint and outline the next steps in the process.

2. Our Complaints Officer will:
 - a. Investigate the complaint;
 - b. Endeavour to keep you fully informed during this time of the progress of our investigations into your complaint.
3. If we are not able to resolve the complaint either positively or negatively, we will write to you and provide you with reasons for the delay including an indication of when you may expect to receive a final response from us
4. Any final response you receive from us will set out:
 - a. Whether the complaint has been upheld
 - b. An explanation and reasons for our decision
 - c. If appropriate, any redress or remedial action to be provided
 - d. Details of the Financial Ombudsman Service (**FOS**)
5. If you are not satisfied with our final response or if we have not been able to resolve your complaint within 8 weeks after receiving your complaint, you have the right to refer the complaint to the FOS.

The contact details of the FOS are:

Exchange Tower

London E14 9SR

Telephone: 0800 023 4 567 or +44 20 7964 0500

E-mail address: complaint.info@financial-ombudsman.org.uk

Website address: www.financial-ombudsman.org.uk

6. Please be aware that any referrals to the FOS must be sent within 6 months from the date you receive our final response. If you do not refer your complaint to FOS within this 6-month time limit, the FOS will not have our permission to consider the complaint and will only be permitted to consider it in certain limited circumstances.
7. We will keep a record of the complaint and maintain this record for a period of 5 years from the date of receipt of the complaint as is required by law.

We periodically review our complaints procedure and complaints register (both closed and ongoing cases) to ensure that no systematic failings are occurring in our interactions with and our handling of our complaints from our clients.

You should be aware that, in accordance with our terms of engagement, and depending on the nature of the complaint, we may suspend trading on any accounts we manage for you while your complaint is being investigated. We will notify you if this is required.



Phil Wellington
Complaints Officer