

FEBRUARY 2020

At Seven Investment Management (7IM), we pride ourselves on excellent customer service. Our aim is to have a minimal number of complaints and a maximum number of satisfied clients. However, we do recognise that there could be times when our clients feel that we fall short of this aim. We view complaints as an opportunity for learning what we as an organisation can do to help our clients, setting their expectations and delivering to those expectations without error and in a friendly way. The rest of this document explains our process for handling complaints.

Making a complaint

If you have a financial adviser, they will be able to raise a complaint on your behalf. Alternatively you can contact us directly by phone: 0207 760 8777 or email: complaints@7im.co.uk. You can also write to the Chief Client Officer, Seven Investment Management LLP, 55 Bishopsgate, London EC2N 3AS.

Our complaints process

Where the matter takes longer than three business days to resolve, we will send you an acknowledgement letter and a copy of our complaints procedure. There may be some occasions when we will need to ask for more information before the complaint investigation can proceed.

A nominated complaint handler, who will be impartial and unbiased, will begin the investigation. This will involve gathering all documents and information necessary for a clear picture of the chain of events to become evident. We will aim to resolve all complaints as quickly as possible but if the complaint cannot be readily resolved we will contact you within 4 weeks to give an update on our progress and an estimated time to resolution.

We will provide you with a final decision on our findings within 8 weeks of receipt or, failing that, an explanation as to why we have not been able to do so and an indication of when you can expect a final response.

In our final response we will provide you with details of the Channel Islands Financial Ombudsman (see below) and either:

- Accept the complaint and where appropriate offer redress or remedial action;
- Offer redress or remedial action without accepting the complaint; and/or
- Reject the complaint and explain the reasons for this.

The Ombudsman will not generally review complaints which relate solely to investment performance, however, we are happy to explain the logic behind the choices that were made and the reasons for the subsequent performance.

Where we become reasonably satisfied that a third party may be solely or jointly responsible for the matter under investigation, we may forward the complaint, or the relevant part of it, to that third party. Where we decide that this is the most appropriate course of action, we will act promptly and will inform you of our actions accordingly.

Financial Ombudsman Service

If you are unhappy with the outcome of 7IM's investigation, you can ask the Channel Islands Financial Ombudsman to review the matter. The Channel Islands Financial Ombudsman is there to help settle disputes between consumers and businesses providing financial services.

Their contact details are:

Channel Islands Financial Ombudsman, PO Box 114, Jersey, Channel Islands JE4 9QG

Email: enquiries@ci-fo.org

Jersey local phone: 01534 748610

Guernsey local phone: 01481 722218

International phone: +44 1534 748610

More information is available on their website at: www.ci-fo.org

Treating customers fairly

7IM wishes to be seen by our clients as to have understood their points and responded to them appropriately, without being defensive. All correspondence will be clear and written in plain English. We will include copies of relevant documentation with 7IM's response if we think this may help (e.g. text from a brochure or the website).

Management information

The person with responsibility for handling complaints at 7IM is the Chief Compliance Officer. On a monthly basis, the Compliance team will provide a summary to the Governance Committee detailing all relevant complaints received during the month. 7IM also periodically conduct root cause analysis in order to identify common causes of complaints.

Taking civil action

If your complaint is not resolved to your satisfaction, you may be able to take civil action. However, we hope that you would discuss your concerns with us in the first instance.

For more information call 0207 760 8777 or visit www.7im.co.uk

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