

MAKING A COMPLAINT
A GUIDE FOR CLIENTS



HOW TO COMPLAIN

This leaflet explains the complaints procedures of the Sarasin UK group of companies, which are Sarasin & Partners LLP, Sarasin Investment Funds Limited, and Sarasin Asset Management Limited (Sarasin). Each firm is authorised and regulated by the Financial Conduct Authority (the FCA) and our complaints handling procedures are governed by FCA rules and regulations.

At Sarasin we aim to provide fair outcomes for our clients, with products and services that meet your expectations. However, if you have found we have failed in any way to provide you with the kind of services you have come to expect from us, we would want you to let us know so we have the opportunity to put it right, learn from your complaints and use them to improve our services to you.

You can make a complaint in writing by letter, fax or e-mail. Alternatively, you may make a complaint by telephone or in person. Under our complaints handling procedure we aim to resolve your problem as quickly and as efficiently as possible at all stages.

STEP 1

You may address your complaint to your normal Sarasin relationship manager. Alternatively, if you would prefer to address your complaint to someone other than the person you have been dealing with, or if you are an investor in a fund managed by Sarasin Investment Funds, you may contact:

Richard Jocelyn
Head of Compliance
Compliance Department
Sarasin & Partners LLP
Juxon House
100 St. Paul's Churchyard
London, EC4M 8BU
United Kingdom

Tel: + 44 (0) 20 7038 7000

Fax: + 44 (0) 20 7038 6852

e-mail: compliancelondon@sarasin.co.uk

All telephone calls regarding your complaint will be charged at the basic rate.

Please give as much detail as you are able and if possible include any relevant documents in support of your complaint.

STEP 2

You should expect to receive an acknowledgement letter from us within five working days from the date we first received your complaint. The written acknowledgement will contain the name of the person dealing with your complaint and an indication of when we expect to provide you with a full response to your complaint.

If, on the other hand, we reasonably anticipate a quick and full response to your complaint, i.e. within three working days, we may not send a separate initial acknowledgement.

STEP 3

After sending you an acknowledgement letter, your concern will be fully investigated. The investigation will involve a full assessment of your complaint according to our internal complaint handling guidelines and will be conducted within the timeframe set out in your acknowledgement letter. We will attempt to provide you with a full response addressing all your concerns and a full written account of our investigation with conclusions.

If the nature of the complaint does not permit us to complete the investigation within the expected timeframe, we will notify you by sending you a holding letter, explaining why we are not yet in a position to resolve the complaint and in our letter, we will indicate when we will make further contact. In all but the most complex of cases we will provide you with a final response no later than eight weeks after we first received your complaint.

If we you do not receive a reply from you to our final response this does not affect your right to refer the complaint to the Financial Ombudsman Services (FOS) or any of your other legal rights.

STEP 4

We hope that by this stage we would have handled your complaint to your satisfaction.

Should you remain dissatisfied you have the option to refer the matter to the UK Financial Ombudsman Service (FOS) which will independently investigate your complaint. The FOS is an ombudsman scheme that allows consumers or professional clients or eligible counterparties (where the person is an individual acting for purposes outside their trade, business, craft or profession) “Eligible Complainants” access to an independent complaints adjudicator. Please refer to the website below for further information.

Please note that for your complaint to be considered by the FOS, you must usually refer the complaint to the FOS within 6 months from the date of our final response. However, dependent on the circumstances of your complaint, we may at our discretion waive 6-month time limit.

The FOS contact details:

Tel: 0800 023 4567 or +44 20 7964 1000 if you are calling from outside the UK.

Email: complaint.info@financial-ombudsman.org.uk

Website: www.financial-ombudsman.org.uk

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SARASIN & PARTNERS LLP

Juxon House
100 St. Paul's Churchyard
London EC4M 8BU

T +44 (0)20 7038 7000

E charities@sarasin.co.uk

sarasinandpartners.com

