

MAKING A COMPLAINT
A GUIDE FOR CLIENTS
(IRELAND)



HOW TO COMPLAIN

This leaflet explains the complaints procedures of the Sarasin companies in Ireland. Sarasin & Partners LLP is authorised and regulated by the Financial Conduct Authority (the FCA) and is passported to conduct investment business in Ireland under MiFID. Sarasin Funds Management (Ireland) Limited (SFMIL) is the management company of our Irish fund range, and is authorised and regulated by the Central Bank of Ireland (CBI). Our complaints handling procedures are governed by the CBI and in accordance with the Consumer Protection Code 2012.

At Sarasin we aim to provide our clients with a quality of investment management service and products that meet needs and 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 aims to resolve your problem as quickly and as efficiently as possible at all stages.

STEP 1

Please note that the appropriate address for issuing your complaint depends on the service and provider to which it relates.

If your complaint relates specifically to services provided to you by our Dublin branch, Sarasin & Partners LLP, Dublin Branch, you should write to Mr Fergus Crawford on the details below. This will give him the opportunity to explain what actions have been taken and to try to address your issues directly.

Fergus Crawford
Manager
Sarasin & Partners LLP, Dublin Branch
120 St Stephen's Green, Dublin 2, Ireland

Tel: (01) 424 4004

Alternatively, if you would prefer to address your complaint to someone other than the person you have been dealing with, you may contact:

Richard Jocelyn
Head of Compliance
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

If your complaint relates specifically to SFMIL, please write to the Compliance Officer, Patrick O'Donoghue, c/o Sarasin & Partners, Dublin Branch, 120 St Stephen's Green, Dublin 2, Ireland.

Finally, if your complaint relates specifically to the service provided to you by Northern Trust International Fund Administration Service (Ireland) Limited in connection with a service and / or product provided by a Sarasin entity, please direct it to:

Northern Trust International Fund Administration Service (Ireland) Limited
City East Plaza
Block A
Towlerton
Ballysimon, Limerick, V94 X2N9
Ireland

Tel: +353 1 571 7171

e-mail: iretaclientservice@ntrs.com

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 full response to your complaint, i.e. within five 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 which will be no later than 40 working days after receipt of your complaint. 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 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 Services and Pensions Ombudsman (FSP0) 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 FSP0 who independently investigate your complaint. The FSP0 is an independent ombudsman scheme that allows private individuals, small businesses, smaller charities and trusts and other persons who fall within the definition of "Eligible Complainant" access to an independent complaints adjudicator. Please refer to the website below for further information.

Your letter to the FSP0 should be sent to the following address:

The Financial Services and Pensions Ombudsman
3rd Floor, Lincoln House
Lincoln Place
Dublin 2

Tel: +353 1 6620899

Fax: +353 1 6620890

enquiries@financialombudsman.ie

website: www.financialombudsman.ie

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