



COMPLAINT HANDLING PROCEDURES SUMMARY

Our aim is to deliver outstanding Customer Service; however we recognise that sometimes things go wrong. We take all complaints seriously and our aim is to acknowledge, respond and resolve all complaints promptly.

1. Receipt of a Complaint

Upon receipt of a complaint whether received by telephone, email or letter, the complaint will be recorded in the Complaints Register.

2. Acknowledgement of the Complaint

We aim to deal with your complaint promptly. We will generally communicate with you by telephone within 3 business days of being made aware of the nature of the complaint. The call may be made by your broker, or a Senior Manager or Director. They will seek to understand the nature of your complaint and whether it is something that can be resolved quickly. If we manage to resolve the issue to your satisfaction within this timescale, we will send you a Summary Resolution Communication. This will confirm that we feel we have addressed your complaint however should you remain dissatisfied you may refer your complaint to the Financial Ombudsman Service.

If our investigation is likely to take longer than 3 business days, we will acknowledge your complaint formally in writing. In this acknowledgement we will provide the name and title of the person that is handling the complaint. A copy of this "Complaint Handling Procedures Summary" will also be sent with the acknowledgement.

3. Investigating the Complaint

The complaint will be investigated fairly, consistently and promptly. Whilst we attempt to resolve complaints promptly, if they are more complex and require detailed investigation, we will inform you of this if we have not concluded our investigations.

4. Resolving the Complaint

Once the complaint has been investigated, we will attempt to resolve it amicably. Where it is found that redress is appropriate, we will aim to provide you with fair compensation for any acts or omissions for which we are responsible. If you accept the offer, then we will promptly provide compensation in a manner agreed with you.

5. Complaints Timetable

The Financial Conduct Authority sets out basic requirements that all regulated firms must follow in resolving complaints. Specifically, it requires companies to promptly acknowledge the complaint in writing and thereafter keep the complainant informed of the progress of the measures the company is taking to resolve your complaint.

If your complaint is not resolved within 8 weeks of receiving the complaint, we are required to send you a final response or a written response that;

- Explains why we are not yet in a position to make a final response and when you might be expected to receive our final response.
- Informs you in the response if you are entitled to refer your complaint to the Financial Ombudsman Service ("FOS"); and,
- Encloses a copy of the FOS standard explanatory leaflet.

Further details regarding FOS can be obtained from their website at www.financial-ombudsman.org.uk
Alternatively, FOS may be contacted at:

The Financial Ombudsman Service
Exchange Tower
Harbour Exchange,
London
E14 9SR.

Telephone: Consumer helpline: 0800 023 4567

6. Final Response

Once the complaint has been fully investigated we will send you a final response which either:

- Accepts the complaint and, where appropriate, offers redress and / or remedial action or
- Offers redress and / or remedial action without us accepting the complaint; or
- Rejects the complaint and provides reasons for doing so.

A copy of the FOS standard explanatory leaflet should be included with the final response letter, along with an explanation that if you are unhappy with the response received, you can now refer the complaint to FOS but that you must do so within 6 months of the date of your final response letter.

If you wish to raise a complaint you can speak with your broker directly, or call the office on 020 8057 6380, or send an email to compliance@css-investments.com or write to us at:

**Collins Sarri Statham Investments Limited, 138 Fortis Green Road, Muswell Hill. London.
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