

## SPF Private Clients Ltd – Internal Complaints Procedure

SPF Private Clients (SPF) aims to provide all clients with the highest standard of service; however, there may be an occasion when you wish to register a complaint. The information below confirms to you how to register a complaint free of charge, how we seek to resolve your complaint and your right to refer your complaint to the Financial Ombudsman Service if you remain dissatisfied with our final response.

### **How to register a complaint**

#### **With your SPF point of contact:**

You can contact your adviser or case administrator either by phone, email or post.

#### **By post:**

Compliance Department  
1<sup>st</sup> Floor  
33 Gracechurch Street  
London  
EC3V 0BT

#### **By phone:**

(020) 7330 8500 and ask to speak to a member of the Compliance department.

#### **By email:**

info@spf.co.uk

### **How will we handle and seek to resolve your complaint?**

Our aim is to handle your complaint promptly and fairly.

Once we are in receipt of your complaint, we will review it to see if it can be resolved by close of business on the next working day.

If we are unable to do this, as the nature of your complaint may require us to investigate the matter in more detail, we will then write to you to confirm this.

This letter will be sent out within 5 working days of you registering your complaint with us. In this letter we will give you the name and contact details of the person who will be dealing with your complaint and keeping you updated with our progress.

Our aim is to resolve your complaint within 4 weeks of receipt. If we have not completed our review of your complaint within this timescale, we will write to you and provide you with an update.

If our investigations are not concluded within 8 weeks, we will write to you explaining why we are not in a position to provide a final response letter and indicate when we expect to be able to do so.

### **Getting an independent review of your complaint**

The Financial Ombudsman Service is an impartial service for consumers with unresolved complaints against regulated firms, such as SPF Private Clients. Their service is available to you free of charge.

We aim to resolve complaints whenever possible through our internal complaints procedure. However, if you are not satisfied with our final response letter or if 8 weeks have passed since you first let us know about your complaint, you can refer it to the Financial Ombudsman Service.

When we provide you with our final response letter or, a letter at the 8 week stage of our investigation process, we will supply you with the Financial Ombudsman Service's contact details and a copy of their leaflet.

More information can be found on their website [www.financial-ombudsman.org.uk](http://www.financial-ombudsman.org.uk).

**SPF Private Clients Limited is authorised and regulated by the Financial Conduct Authority.**  
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