Our Complaints Procedure

Schroders
personalwealth

Introduction

We aim to provide you with the best possible service at all times but we realise, on occasion, this will not be achievable and there may be instances when you're dissatisfied. Should this happen, we'd like to reassure you we take all complaints seriously and aim to resolve any concern you have fairly, effectively and promptly. We handle all complaints in line with our regulatory obligations and always look to deliver fair outcomes.

We work hard to maintain our service standards and your feedback is very important to us. We're always keen to learn from past experience and find new ways to improve, so we regularly review any complaints we receive for trends to ensure we can continue to enhance our products and services.

You can read how we handle complaints below.

If you have a complaint

- In the first instance, please contact your Personal Wealth Adviser or their assistant.
- You can also send us an email: **Complaints@SPW.com**
- Or you can write to us at:

Complaints Team
Schroders Personal Wealth
12th Floor
1 London Wall
London, EC2Y 5EB

Complaints handling process

- If we receive a complaint from you we'll arrange for your Personal Wealth Adviser, or their manager, to contact you to discuss your concerns.
- If your Personal Wealth Adviser can't resolve your concerns promptly, your complaint will passed on to a Regional Compliance Manager.
- If your complaint is about your Personal Wealth Adviser, then it will be dealt with by a Regional Compliance Manager who will contact you to discuss your concerns.
- Where your complaint is referred to a Regional Compliance Manager we'll provide a prompt written acknowledgment of the complaint. We'll also supply contact details for the Regional Compliance Manager who is going to deal with your complaint.
- We'll write to you with the outcome of our investigation as soon as we can. If we're unable to resolve your complaint within four weeks, we'll write to provide a written explanation of why we require additional time to complete our investigations and we'll confirm when you can expect our final response.
- If we're unable to resolve your complaint within eight weeks, we'll write to you again to explain why and confirm when we expect to conclude our investigations. Once we've concluded our investigations we'll provide confirmation of the outcome to you in writing.

Taking your complaint further

If you're not happy with our final response or if eight weeks has passed, you may be able to refer your complaint to the Financial Ombudsman Service. The Financial Ombudsman can be contacted in the following ways:

- Email: **complaint.info@financial-ombudsman.org.uk**
- Phone: **0800 023 4567**
- Website: **www.financial-ombudsman.org.uk**
- Or you can write to them at:

Financial Ombudsman
Exchange Tower
Harbour Exchange Square
London
E14 9SR

Please go to **spw.com**
or call us on **0345 366 2725**

Please contact your Personal Wealth Adviser if you'd like this information in an alternative format such as Braille, large print or audio.

All information correct as at September 2020.

Calls may be monitored or recorded to meet regulatory requirements, to check we have carried out your instructions correctly and to help improve our quality of service. Not all telephone services are available 24 hours a day, 7 days a week. Please speak to your Adviser for more information. Call costs may vary depending on your service provider.

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