

## **COMPLAINTS PROCEDURE FOR DISTRIBUTION TO CLIENTS**

### **Complaints Procedure of Huntsman Hawkes Limited**

We regard any expression of dissatisfaction from or on behalf of any client about the provision, or failure to provide, a financial service and complaints handling procedure which alleges that the complainant has suffered (or may suffer) financial loss, material distress or material inconvenience to be a complaint irrespective of whether it is made orally or in writing or whether it is justified or not. Where any customer expresses concern about the service, steps will be taken to resolve that matter and it will be treated as a complaint.

We will provide a copy of this procedure to any client who makes a complaint or to any client who requests it. It is published on the company's website, and is included in summary form in our customer documentation.

On receipt of a complaint from any source we will pass the details to David McMorrow, Compliance Officer for acknowledging and further investigation. All complaints are treated and recorded in the same way. If we are able to resolve your complaint within one business day we will not write to you in accordance with the procedure below.

In the unlikely event that you wish to make a complaint use the following details:

In writing:

Complaints Manager  
Huntsman Hawkes Ltd  
2 James Whatman Court  
Turkey Mill  
Ashford Road  
Maidstone  
Kent  
ME14 5PP

By Telephone: 01617130096

By Email: [info@huntsmanhawkes.com](mailto:info@huntsmanhawkes.com)

We acknowledge all complaints fairly and promptly within 5 working days from receipt. If we receive an oral complaint we will refer in our letter of acknowledgement to the matter complained of and detail our understanding of this for you the client to confirm the accuracy of this. This letter may contain our offer to settle where appropriate.

If your complaint relates to a product that this firm arranged for you, but the matter is the responsibility of the product provider rather than our firm, we will refer the matter to the product provider fairly and promptly within 5 working days from receipt and write to you to confirm this, together with contact details for the provider concerned.

Where it is not possible to extend an offer to settle and the matter is subject to further investigation then we will: -

- 1) Keep you reasonably informed.
- 2) Where we are not able to make an offer to settle and further investigation is necessary, we will give you a full explanation.

Our nominated complaints investigation officer (CIO) will review the details surrounding the matter complained about and will examine the file and any other relevant information. If the complaint is in respect of business arranged by our complaints officer then another senior employee will investigate.

Once the investigation is completed then our CIO will write to you with his appraisal of the matter, our final decision and the nature and terms of any settlement, if applicable (our final response). If we decide an offer of redress is appropriate, any compensation we offer will be a fair offer taking all the facts into account. We hope to provide this final response within four weeks.

If we are not in a position to provide our final response within 8 weeks following your initial complaint we will write again: -

- 1) Setting out why the matter is still unresolved.
- 2) Giving you a full summary of our investigation to date and explaining why we have not been able to conclude the matter.
- 3) Advising you that you may now be able to take the matter to the Ombudsman (address will be provided) and
- 4) Enclosing a leaflet explaining how to take the complaint to the Ombudsman.

If you are advised that we have concluded the matter and you are not satisfied with our final response, or if a complaint is not resolved after 8 weeks, you may be able to take the complaint to –

The Financial Ombudsman Service  
Exchange Tower  
London E14 9SR

<http://www.financial-ombudsman.org.uk/>

0800 023 4 567

Please note the Ombudsman cannot consider a complaint if you refer it to the Financial Ombudsman Service more than six months after the date of our final response letter.

If we write to you and you do not respond within 8 weeks to our “final response” we will treat the matter as closed.

Be assured that we treat all complaints very seriously and we will conduct a full review and conclude all matters to the mutual satisfaction of the parties as quickly as possible maintaining appropriate records at all times.