

P1 Investment Management

Complaints Process v2

July 2020



Our approach to Complaints

Dear valued client,

At P1 Investment Management, we take care to maintain high standards of service. Where we become aware of client concerns or unease we give priority to resolving the matter as quickly as possible and that your concerns are handled fairly and within reasonable timescales.

Upon receipt of a complaint we will do all we can to resolve your concerns within three business days, and confirm this to you in writing. If we can't do this we will write to you, normally within five business days to acknowledge your complaint and to let you know when we expect to be able to issue a full response.

To introduce myself, I am Paul White and as P1's Compliance Director, am the nominated point of contact for handling your complaint. I aim to take an independent view of the case and will investigate your concerns within the timescales explained in this document.



When acknowledging your complaint, especially in the case of an oral complaint, we will set out the nature of the complaint and may request further clarification if necessary. Your complaint will be investigated using our files together with reports from other parties if relevant. We may also write to you if further information is required. We will keep you informed of the progress of the complaint investigation.

After eight weeks, if a final response letter has not already been sent to you, you will receive;

- A final response letter detailing our conclusions and resolution to the complaint. This letter will also confirm that if you remain dissatisfied with our final response that you may refer your complaint to the Financial Ombudsman Service (FOS) within six months of the date of our final response letter, otherwise you would lose this referral right. A copy of the FOS leaflet 'your complaint and the Ombudsman' will be enclosed, if not already supplied.

OR

- A response that we are still not in a position to make a final response, giving the reasons for the further delay and indicating when we expect to be able to provide a final response;

AND

- Informing you that you may refer your case to the FOS if you are dissatisfied with the delay. A copy of the FOS leaflet 'your complaint and the Ombudsman' will be enclosed, if not already supplied.

Please bear in mind that if your complaint involves information from third parties some delays could be beyond our control. We will however, pursue information on a regular basis.

You can read more about the service the FOS provide on their website (<http://www.financial-ombudsman.org.uk>).



In the event that we receive a complaint that is not about us, or our services, and assuming that we can identify the firm to whom the complaint should be addressed, we will carry out the following action:

- We will write to the firm concerned, explaining that we believe the complaint to be theirs, and suggesting that they contact you, the client, directly.
- We will enclose a copy of the original complaint letter.
- We will write to you, the client, giving contact details of the firm, and invite you to get in touch with them. We will also enclose a copy of the letter we send to the firm.
- We will copy the new firm in on this letter as well.

I hope this explains how we will deal with your concerns and respond to them within a reasonable timescale, keeping you up to date with our progress as we do so. If you have any questions, then please do contact me – you will find my details below.

Yours faithfully

Paul White

Paul White

Compliance Director
P1 Investment Management

You can address complaints to me at the following address:

P1 Investment Management Limited
Senate Court
Southernhay Gardens
Exeter
EX1 1NT

By email: paulwhite@p1-im.co.uk; or

By telephone: 01392 953079