

Redmayne-Bentley's

# Complaints Handling Procedure

---

Established in 1875, today Redmayne-Bentley is one of the leading independent private client stockbrokers in the UK. With over 30 branches throughout the UK and Ireland, we provide clients with an accessible and personal stockbroking service.

## Our Commitment To You

At Redmayne-Bentley LLP we are dedicated to providing you with the best available service at all times. Should you feel that any aspect of our business has not fulfilled your expectations, please allow us the opportunity to put things right.

## The Financial Ombudsman Service

Our affiliation to the Financial Ombudsman Service ensures that any investigation will be fair and impartial, and that every effort will be made to reach a speedy and satisfactory conclusion.

For further information regarding the Financial Ombudsman Service, there is an explanatory leaflet entitled ***Your Complaint and the Ombudsman*** which can be obtained from any Redmayne-Bentley branch. For further information call our Head Office on **0113 243 6941**.



# Making a Complaint

---

Your complaint can be made by letter, fax, e-mail telephone or visit. This should be addressed to your account executive, local branch, or to our Head Office in Leeds and we will assist with your complaint. At any time you can ask for your complaint to be referred to the **Complaints Department**, based at our **Head Office in Leeds**.

Once your complaint has been received, written confirmation including contact details of the executive dealing with your request will be sent to you within *five* business days.

If the complaint has been remedied within this time frame, a *final response* will also be included (please see overleaf).

## The Process

The details of your complaint will be thoroughly examined by the appropriate person, who will seek guidance or assistance where he/she has any uncertainty as to the accuracy of the evidence and information with which they are dealing.

In order to show impartiality and fairness to you when the investigation is thought to be concluded the appropriate person will pass your complaint to their head of department and/or the Complaints Officer particularly if he/she is or has been directly involved. This information will be evaluated and a decision made to either continue the investigation, or send you a final response.

## FSA Definitions of an Eligible Complaint

Whether you are (or were previously) a client of Redmayne-Bentley, a potential client, or if you are acting as a representative/agent for a current or previous client, your complaint must be in accordance with the Financial Services Authority (FSA) definitions.

The complaint must allege that there has been, or will be any of the following:

- Financial loss;
- Material distress;
- Material inconvenience.

---

## Eligible Complainants

- A private individual;
- A business, with a group annual turnover of less than £1m;
- A registered charity, with an annual income of less than £1m; or
- A trustee of a trust with a net asset value of less than £1m.

## Timescale

Should the investigation still be ongoing after four weeks, we are obliged to inform you in writing immediately, this is known as a *holding response*. This will explain why an outcome is not yet possible and when further contact will be made.

Although, this must be within eight weeks of us receiving your complaint, we would not expect any issue to reach this point, and would envisage any enquiry to be resolved within this timescale.

## The Final Response

The outcome of the investigation will be conveyed to you in writing, this is known as a *final response*, and will include one of the following explanations;

- The Complaints Officer may conclude that the evidence does not support the complaint, and rule that no further action with regard to your complaint is necessary.
- Where the evidence does support your complaint, the Complaints Officer will decide whether some form of redress is appropriate. This will vary depending on the circumstances and merits of each individual case and may not involve financial restitution.
- Where responsibility has been accepted for any acts or omissions' then you should be provided with fair compensation. This will be clearly identified to you when the final response is forwarded.

If you are dissatisfied with the final response then your complaint can be referred to the Financial Ombudsman Service (FOS), but must be done so within *six months* of receiving the final response. We will forward you a copy of the FOS explanatory leaflet, copies of which are available from any of our branches.

On acceptance of compensation by you, we will act on the offer as quickly as possible.

---

Members of the London Stock Exchange · Authorised and Regulated by the Financial Services Authority

Redmayne-Bentley LLP is a Limited Liability Partnership

Registered in England and Wales No: OC344361 · Registered Office: 9 Bond Court, Leeds LS1 2JZ

Telephone: 0113 243 6941 · E-mail: [info@redmayne.co.uk](mailto:info@redmayne.co.uk) · VAT No: GB 613 139 763

Branches throughout the UK and Ireland, for details visit [www.redmayne.co.uk](http://www.redmayne.co.uk)

**REDMAYNE  
BENTLEY**  
STOCKBROKERS

COMP 08/11/004 BBS5544