

## Summary Complaints Process

How and where to complain	
In writing	<p>Complaints Management Function            Tideway Investment Group Limited            107 Leadenhall Street            LONDON            EC3A 4AF            or            Email: <a href="mailto:compliance@tidewayinvestment.co.uk">compliance@tidewayinvestment.co.uk</a></p>
By telephone	<p>Call the Compliance Officer on 020 3143 6100</p>
Process	
	<p>On receipt of your communication we will undertake an assessment as to whether this is a complaint and should be handled in line with our internal complaints policy.</p> <p>We will provide written acknowledgement of your complaint promptly and will keep you informed of our progress in reviewing your complaint.</p> <p>We will ensure that we investigate the complaints competently and diligently. We will review the complaint impartially and will ensure that we seek additional information where necessary.</p> <p>Our assessment of the complaint will be made promptly, fairly and consistently. We will review the subject matter of the complaint and assess whether the complaint should be upheld.</p> <p>We will assess the remedial action or redress that is appropriate if the complaint is upheld and will also assess whether another respondent party is solely or jointly responsible for the issue raised within the complaint.</p> <p>Where the offer of remedial action or redress is accepted, we will ensure that we comply with the terms of this.</p>

If we resolve your complaint within **three business days** we will provide you with a written summary resolution which will contain details as to how you can escalate your complaint to the Financial Ombudsman Service ("FOS"), if applicable, and should you be dissatisfied with our resolution.

Within our written resolution we will provide details as to any findings we have made as a result of our investigation into your complaint and whether any remedial action will be taken by ourselves. We will ask you to confirm if you are satisfied with our conclusion. If you are not satisfied with our conclusion we will not close your complaint and will continue to seek resolution.

If we feel your complaint requires further review and we cannot respond to you with a resolution within three business days, we will inform you of this. We will provide you with details of who is responsible for handling your complaint at the firm as they will provide you with updates.

We will provide you with a written Final Response Letter, which will provide details as to any findings we have made as a result of our investigation into your complaint and whether any remedial action will be taken by ourselves. We will ask you to confirm if you are satisfied with our conclusion.

## What if you're not happy with our response?

To note, you may raise your complaint to the Financial Ombudsman Service (FOS) if you feel dissatisfied with our resolution. There are set time limits in which you are able to raise your complaint to the FOS and we will provide these time limits within our final response. We reserve the right to waive this time limit and if we do waive the relevant time limit we will provide you with notice of this as per DISP 1 Annex 3R.

## Financial Ombudsman Service

If you are not satisfied with our suggested resolution you may refer your complaint to the Financial Ombudsman Service. You can write to them at:

The Financial Ombudsmen Service  
Exchange Tower  
London E14 9SR

Email: [complaint.info@financial-ombudsman.org.uk](mailto:complaint.info@financial-ombudsman.org.uk)

Telephone: 0800 0234567 or 0300 123 9123

Further helpful information can be obtained from visiting the Financial Ombudsman web site at [www.financial-ombudsman.org.uk/](http://www.financial-ombudsman.org.uk/)