

**Legate Group Limited**  
**Complaints Policy & Procedure**  
**6 October 2018**

**1. Purpose**

- 1.1 Legate Group Limited (“the Company”) welcomes and encourages feedback of all kinds from our customers. If you have a Complaint about any aspect of our service, or about our employees, consultants or agents, not only do we want to resolve it to your satisfaction but we also want to use the experience to improve our business processes in the future.
- 1.2 It is our policy to resolve Complaints quickly and fairly, where possible without recourse to formal investigations or external bodies. In particular, the aims of this Complaints Policy are:
  - 1.2.1 To provide a clear and fair procedure for any customers who wish to make a Complaint about the Company, our services or about our employees, consultants and agents;
  - 1.2.2 To ensure that everyone working for or with Legate Group Limited knows how to handle Complaints made to the Company;
  - 1.2.3 To ensure that all Complaints are handled equally and in a fair and timely fashion;
- 1.3 To ensure that important information is gathered from Complaints and used in the future to avoid such a situation arising again.

**2. Making a Complaint**

- 2.1 All Complaints, whether they concern our services, our customer service, or our employees, consultants or agents, should be made in one of the following ways:
  - In writing, addressed to Legate Group Limited, Central Building, Carrington Business Park, Manchester M31 4DD.
  - By email, addressed to [complaints@legategroup.co.uk](mailto:complaints@legategroup.co.uk)
  - By contacting us by telephone on 0161 50 50 207.
- 2.2 When making a Complaint, you will be required to provide the following information in as much detail as is reasonably possible:
  - 2.2.1 Your name, address, telephone number and email address (We will contact you using your preferred contact method as your Complaint is handled);
  - 2.2.2 If you are making a Complaint on behalf of someone else, that person’s name and contact details as well as your own;
  - 2.2.3 If you are making a Complaint about a particular employee, consultant or agent, the name and, where appropriate, position of that person;
  - 2.2.4 Further details of your Complaint including, as appropriate, all times, dates, events, and people involved;
  - 2.2.5 Details of any documents or other evidence you wish to rely on in support of your Complaint;
  - 2.2.6 Details of what you would like the Company to do to resolve your Complaint and to put things right. (Please note that whilst we will make every reasonable effort to accommodate such requests, we are not bound to take any action beyond that which we may be contractually or otherwise legally obliged to take.)

### 3. Confidentiality and Data Protection

- 3.1 All Complaints and information relating thereto are treated with the utmost confidence. Such information will only be shared with those employees, consultants, agents and organisations that possess a legitimate interest in the Complaint. This may include our client on whose behalf we operate and our regulatory bodies.
- 3.2 We may ask for your permission to use details of your Complaint (with your personal details removed) for internal training and quality improvement purposes. If you have given such permission, you may revoke it at any time by contacting the Company's director,
- 3.3 All personal information that we may collect (including, but not limited to, your name and address) will be collected, used and held in accordance with the provisions of the Data Protection Act 1998 and your rights under that Act.

### 4. Questions and Further Information

If you have any questions or require further information about any aspect of this Complaints Policy or about our Complaints Procedure, please contact the Company's director by post, by telephone or by email. Further details can be found at our website [www.legategroup.co.uk](http://www.legategroup.co.uk).

### 5. Responsibility for Compliance and Scope of Policy

- 5.1 This Policy applies to all employees, consultants, agents, contractors, subcontractors, business partners and any other parties (including individuals, partnerships and bodies corporate) associated with the Company.
- 5.2 It is the responsibility of all of the abovementioned parties to ensure that complaints made are recorded and reported in accordance with the Company's Complaints Policy.

#### **This policy has been approved & authorised by:**

**Name:** Tony Clarke  
**Position:** Director  
**Date:** 06/10/2018

#### Version Control:

Version	Date	Date Approved	Next Review Date
V1	01/01/2012	01/01/2012	30/09/2014
V2	01/10/2014	01/10/2014	30/09/2017
V3	01/10/2017	31/10/2017	30/09/2019
V4	06/10/2018	06/10/2018	30/09/2019

<b>Procedure (including Key Points)</b>	<b>Responsibility</b>	<b>Timeline</b>
<p><b>1. What is a Complaint?</b></p> <p>A complaint is any written or verbal expression of dissatisfaction with any aspect of Legate Group's services.</p>	Staff, agents or contractors	N/A
<p><b>2. Initial Identification</b></p> <p>Immediately record the exact details of the complaint on the case notepad and amend the case status to "Complaint".</p>	Staff, agents or contractors	Within 24 hours
<p><b>3. Complaint Recording</b></p> <p>Suspend activity in relation to the case and update internal and external stakeholders as appropriate.</p> <p>Ensure that the Complaints Register is updated.</p> <p>Write to the complainant acknowledging the complaint and enclosing a copy of the Complaints Procedure Leaflet.</p>	Staff, agents or contractors	Immediately or as soon as is practicable
<p><b>4. Investigation</b></p> <p>Refer the complaint to the Company Director for an initial assessment.</p> <p>Where appropriate seek a third party (e.g. client, accountant) view to conduct a sense checking exercise of the complaint providing all the facts of the case in a redacted investigation pack.</p> <p>Provide the complainant with regular updates by telephone or in writing and provide a final written response within 4 weeks. If this is not possible, write to the complainant explaining why this is not possible.</p> <p>Ensure a final written response is provided to the complainant within 8 weeks of the complaint date or an explanation as to why this cannot be provided.</p>	Company director	Commence investigation immediately the complaint has been recorded
<p><b>5. Implementation of corrective action</b></p> <p>Where a complaint is upheld, corrective action should be considered, recorded and implemented.</p>	Company director	As recommended or agreed
<p><b>6. Complaint Recording and Monitoring</b></p> <p>A central register of complaints will be maintained.</p> <p>The register will include a full record of all reported complaints, investigations, customer outcomes, corrective actions undertaken and include complaints for external resolution.</p> <p>Complete FCA Complaints Return</p>	Company director	Continuously

## **Our commitment to you**

At Legate Group Limited each of our clients and our clients' customers are important to us, and we believe you have the right to a fair, swift and courteous service at all times.

We are in receipt of your complaint and we will deal with it promptly, effectively and in a positive manner.

### Within 5 Working Days

We will acknowledge your complaint within 5 working days of receipt of your complaint.



### Within 4 Weeks

We will investigate your complaint and endeavour to send a final response to you within 4 weeks of receipt of your complaint. If we are unable to provide you with a final response within this time we will send you an update.



### Within 8 Weeks

We will try to send a final response to you within 8 weeks of receipt of your complaint. If we are unable to provide you with a final response within this time frame, we will write to you explaining why and advise you when you can expect a final response.



If more than 8 weeks from the date of your complaint has past and you haven't received a final response, or you are dissatisfied with the final response you have received (at any stage of the process) you can write to:

Financial Ombudsman Service (FOS)  
South Quay Plaza  
183 Marsh Wall  
London  
E14 9SR

You must refer your complaint to the Financial Ombudsman within 6 months of the date on the final response.

