

Our Complaint Handling Procedures

Introduction

We take any complaint received very seriously and view them as an opportunity to identify how we can improve the service we provide to our clients.

How to complain?

If you do need to contact us to make a complaint, you can do so by writing to the following address:

To: The Compliance Officer,
Thesis Unit Trust Management Limited, Exchange Building, St John's Street, Chichester, West Sussex, PO19 1UP.

Alternatively, you can speak to us by calling 01243 531234 (we may monitor and record calls for training purposes). We will be able to take your call from Monday to Friday 9am to 5.15pm.

What standards do we work to?

Within 5 business days of receiving your complaint, we will send you a letter of acknowledgement that will include a copy of this complaints procedure.

Who will deal with your complaint?

Someone who has a sufficient level of seniority, knowledge and experience will deal with your complaint. We will also ensure that the person was not directly involved in the matter being considered.

What happens next?

Our aim is to let you have a full response within 4 weeks of receiving your complaint. In this response, we will:

- let you know the outcome of our investigation
- if appropriate, advise you of what we intend to do to rectify the problem
- if we disagree with your complaint, clearly explain the reasons why
- if appropriate, advise you of your right to refer the matter to the Financial Ombudsman Service

What if our investigation takes longer than 4 weeks?

Sometimes, an investigation into a complaint can take longer than 4 weeks. If this happens, we will:

- write to you explaining the reason for the delay
- try to resolve your complaint within a further 4 weeks

And if it takes longer than 8 weeks?

In exceptional circumstances, a complaint may take longer than 8 weeks to resolve. If this is the case, we will:

- write to you again explaining the reason for the delay and giving a revised date for when you can expect a response
- if appropriate, inform you of your right to take your complaint to the Financial Ombudsman Service

What if you disagree with our decision?

We may reconsider our decision, if you have new evidence beyond what you told us in your original complaint. You have 6 months from the date of our final response in which to appeal against our decision. If we have not heard from you in that time, we will consider the complaint resolved.

If you are unhappy with the outcome of our investigations, you may have the right to refer your complaint to the Financial Ombudsman Service, free of charge but you must do so within six months of our final response. There are certain complaints that do not fall within their jurisdiction. These generally relate to complaints solely about investment returns. This is explained in their leaflet, a copy of which you can request by calling us on 01243 531234 or referring to following website www.financial-ombudsman.org.uk