

Lewis Investment

Internal Complaint Handling Procedure

Overview

1. Complaints can be made by any reasonable means e.g. letter, telephone, fax, e-mail, or in person.
2. All complaints will be dealt with by an employee of sufficient competence (all complaints that are received by Lewis will be dealt with by the Compliance Officer), and not by any member of staff directly involved in the matter that is the subject of the complaint.
3. The Compliance Officer will handle the complaint fairly, consistently and promptly.
4. Responses to complaints will address adequately the subject matter of the complaint and, where a complaint is upheld, will offer appropriate redress.
5. Where we decide that redress is appropriate, we will provide you with fair compensation for any acts or omissions for which we are responsible and will comply with any offer of redress which you accept.

What you can expect from us

6. Unless we are able to resolve your complaint by the close of business on the third business day following its receipt, the following time limits will apply:
 - i. We will send you a prompt written acknowledgement, and inform you of the name or job title of the individual handling the complaint, together with a copy of these internal complaint handling procedures.
 - ii. We shall aim to resolve complaints at the earliest opportunity and we will always ensure that you are kept informed of the progress of the measures that we are taking to resolve your complaint.
 - iii. Within eight weeks after receipt of the complaint, we will send you a final written response which will:
 - a. accept the complaint and, where appropriate offer redress or remedial action, or
 - b. offer redress or remedial action without accepting the complaint, or
 - c. reject the complaint and give you our reasons for doing so; or
 - iv. If we are not in a position to make a final response we will send you a written response that explains why, and indicates when we expect to be able to provide one. If you are dissatisfied with the delay, you will be able to refer your complaint to the Financial Ombudsman Service and we will enclose their standard explanatory leaflet.
 - v. The final response, when sent, will inform you that we consider the complaint to be resolved and that if you remain dissatisfied with the outcome or resolution of our investigation, the complaint can be referred to the Financial Ombudsman Service and that you must do so within six months of receiving our final response. We will also enclose a copy of the Financial Ombudsman Service's explanatory leaflet, unless this has already been issued.
 - vi. The Financial Ombudsman Service's website is www.financial-ombudsman.org.uk where further information is available.
 - vii. If we are able to resolve your complaint on the 3rd business day following its receipt we will still inform you of your rights in relation to the Financial Ombudsman Service and therefore (v) & (vi) above will still apply.
 - viii. If the complaint is not in relation to a service or advice that Lewis has provided, we will refer your complaint to the firm responsible and inform you within 5 business days of the actions we have taken and provide you with the contact details of the firm to which the complaint has been referred. If the firm responsible is no longer trading we will endeavour to provide you with as much information as possible in order for you to pursue your complaint through the correct channels.