

Complaints Procedure - Fort Financial Planning Ltd

We regard a complaint as:-

- ✓ An expression of dissatisfaction from an eligible complainant i.e. a private individual or proprietor of a small business, relating to a regulated activity.
- ✓ A client who has or may suffer financial loss material distress or significant inconvenience.
- ✓ A matter which could not be resolved by an apology on the day following notification.

Should you wish to make a complaint please contact Mark Salter at Fort Financial Planning Ltd, Etheridge House, Barton View Business Park, Sheeplands lane, Sherborne, Dorset, DT9 4FW.

What happens when I make a complaint?

On receipt of a complaint, we will pass the details to our nominated complaints investigation officer (CIO), for acknowledging and further investigation. This may require some additional information from you and therefore an authority letter may be required so we can approach any 3rd party necessary.

We will acknowledge your complaint within 5 working days and our acknowledgement letter will detail our understanding of your complaint. Where appropriate this letter may also contain our offer to settle the matter.



Where it is not possible to extend an offer to settle and the matter is subject to further investigation then we will investigate your complaint and endeavour to send a final response to you within 8 weeks of receipt of your complaint.

During the investigation we will keep you informed of its progress to date and whether there is any further information we require from you.

Within our final response letter, we will set out our understanding of your complaint, the issues raised, the investigation we conducted and the outcome from the investigation. We will also detail any redress we believe appropriate or the reasons for declining redress.

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 we write to you and you do not respond within 8 weeks to our "settlement letter" we will treat the matter as closed.



If you are advised that the matter has been concluded by us and you are not satisfied with our final response you may then take the complaint to the Ombudsman but you must do this within 6 months of the date of our final response or you may lose your right to do so.

Financial Ombudsman Service (FOS)
Exchange Tower
London
E14 9SR

Further information on the Financial Ombudsman Services can be found at www.financial-ombudsman.org.uk

Be assured that we treat all complaints very seriously and we will conduct a full review and conclude all matters to the mutual satisfaction of the parties as quickly as possible maintaining appropriate records at all times.

Please note that by way of your complaint to the firm, we will hold your data under the basis that we need to hold a file on you in order to meet our legal obligations in reviewing your complaint, as set out in the Financial Services & Markets Act 2000.