

## Complaints Procedure

### Background

ABG Corporate Finance LLP ("ABG") places a premium on the successful outcome of complaints – successful both in terms of the satisfaction of the client and the protection and enhancement of the ABG's reputation. To this end the following procedures have been designed to produce as efficient and fair an outcome to any complaint raised.

### The Process

The ABG complaints process is to:

- Investigate the complaint competently, diligently and impartially, obtaining additional information as necessary;
- Decide whether the complaint should be upheld and what remedial action or redress (or both) may be appropriate;
- Explain to the complainant promptly and, in a way that is fair, clear and not misleading, its assessment of the complaint, its decision on it, and any offer of remedial action or redress.

In resolving the complaint, ABG will consider:

- Similarities with other complaints received;
- Any regulatory guidance or decisions.

ABG will send the complainant a prompt written acknowledgement confirming receipt and including this Complaints Procedure as set out here. The known facts of the complaint should be confirmed in the letter. This letter should be sent out after the third day and can be sent either by the Director concerned or the Compliance Officer.

The Compliance Officer and the Director will decide who is the most appropriate person to investigate the matter.

The company requires all complaint investigations to have been finalised within 8 weeks from the date on which the matter was originally raised. On the conclusion of the investigation, the Director concerned, or the Compliance Officer will write to the complainant stating:

- Whether the complaint has been upheld or rejected;
- That this letter represents the firm's final response;
- If the complaint was upheld, details of any offer of compensation; and, where appropriate, any other redress or remedial action;
- Any offer of redress or remedial action without accepting the complaint;
- If ABG rejects the complaint its reasons for doing so;
- That the complainant may have the right to refer their complaint to the Financial Ombudsman Service, free of charge – but must do so within six months of the date of this letter;
- If they do not refer your complaint in time, the Ombudsman will not have our permission to consider your complaint and so will only be able to do so in very limited circumstances. For example, if the Ombudsman believes that the delay was as a result of exceptional circumstances.
- The contact details and a copy of the FOS explanatory leaflet should be enclosed.