

At Thomas Miller Investment we believe that service excellence is paramount in all we do. However, we recognise that occasionally things go wrong. When they do, we encourage our clients to contact us so that we have the opportunity to put matters right and enhance our service for the future.

This document outlines what you should do if you wish to make a complaint and explains who to contact if you are not satisfied with our response.

How can I complain?

If you are not satisfied with any aspect of our service or products, please advise your nominated Consultant or Portfolio Manager or, alternatively contact:

Tim Pither - Head of Compliance & Risk
Email: tim.pither@thomasmiller.com
Telephone: +44 (0) 20 7204 2018
Thomas Miller Investment
90 Fenchurch Street
London
EC3M 4ST

You can make a complaint by letter, email, phone or in person.

How will my complaint be handled?

We aim to resolve complaints at the earliest possible opportunity.

Where your complaint can be resolved to your satisfaction within three business days of receipt, we will send you a letter confirming resolution and explaining how to refer your complaint to the Financial Ombudsman Service, where you are eligible to do so.

Where your complaint requires more detailed consideration, it will be assigned to an appropriately qualified and impartial individual who will conduct a thorough investigation of the issues. We will write to you within 5 business days with contact details for the person dealing with your complaint. They will keep you informed of progress and, once the investigation is complete, will send you a 'final response' letter. Our final response will:

- set out our assessment of your complaint
- confirm whether your complaint has been upheld;
- advise of any action we propose to take to remedy matters; and
- explain how to refer your complaint to the Financial Ombudsman Service, where you are eligible to do so.

In most cases, we will be able to provide a final response to your complaint within 8 weeks of receipt. Where your complaint is particularly complex and we have been unable to complete a thorough investigation within 8 weeks, we will write to you to:

- advise why our investigations are not yet complete;
- confirm when we expect to provide you with a final response; and
- explain how to refer your complaint to the Financial Ombudsman Service, where you are eligible to do so.

What is the Financial Ombudsman Service?

The Financial Ombudsman Service is an independent adjudication service set up by Parliament. It seeks to resolve individual disputes between financial services firms and their clients and is free for consumers. The Financial Ombudsman Service is able to review complaints about most types of investment business from most types of client. More information can be found at www.financial-ombudsman.org.uk.