

Complaint handling by Castlefield Advisory Partners Ltd (CAP)

This document is designed to provide information on how Castlefield will act in the event that we receive a complaint. It describes the procedures that we will undertake, which are in accordance with the requirements of our Regulator, the Financial Conduct Authority (FCA). Our FCA number is 478430.

All complaints should be referred in the first instance to:

Mr Michael Richardson, Compliance Officer, Castlefield Advisory Partners Limited, 111 Piccadilly, Manchester, M1 2HY.

Telephone: 0161 233 4550 - Email: Michael.Richardson@castlefield.com

We will try to resolve your complaint within three working days of receipt, if we are able to within this time period, we will issue you a written summary of the resolution. This will confirm that your complaint has been resolved and inform you of your right to take your complaint to the Financial Ombudsman Service should you subsequently feel dissatisfied with the outcome. If we are unable to resolve your complaint within three working days, a written acknowledgement will be issued promptly no later than five working days of receiving your complaint.

The written acknowledgement of the complaint will include:

- i. the name of the Compliance Oversight Officer and contact details;
- ii. a statement that a written report will follow once the investigation is complete;
- iii. In the case of an oral complaint only, a statement of the firm's understanding of the nature of the complaint and a request for the complainant to confirm this in writing.

Every effort will be made to resolve complaints within the first eight weeks.

If the investigation is still not completed after eight weeks, a further letter will be sent by the Compliance Officer explaining that the firm is still not in a position to provide a final response, ensuring that the following is covered in the letter:

- (a) An explanation of why the firm is not in a position to make a final response and an indication of when it expects to be able to provide one;
- (b) Informing the complainant that they may now refer the complaint to the Financial Ombudsman Service providing details of the FOS referral time limits;
- (c) Enclosure of a copy of the Financial Ombudsman Service standard explanatory leaflet; and
- (d) Provision of the website address of the Financial Ombudsman Service (FOS). **www.financial-ombudsman.org.uk**

Once the investigation is complete a letter will be sent by the Compliance Oversight Officer that will provide a summary of our investigation and our decision in the matter. This will also include a copy of the FOS's explanatory booklet (if not already issued).

If at this stage the complainant is dissatisfied with the outcome of our investigation, and wishes to refer the matter to the FOS (if they're an eligible complainant), they must do so within six months of the date of the letter or they may lose the right to refer the complaint.

The Firm will co-operate with the Ombudsman in resolving any complaints made against it.

Complaints which relate to advice or services provided by another firm

In the event that Castlefield receive a complaint where the firm have reasonable grounds to be satisfied that it relates to another firm, we will carry out the following within **5 days** of receiving the initial complaint:

- Positively identify the other firm, who we believe are responsible and establish a current address and point of contact.
- Write to the firm, enclosing a copy of the original complaint letter / notification, explaining why we believe they are responsible for dealing with the complaint.
- Write to the complainant, explaining the action taken, enclose a copy of the letter sent to the other firm and invite the client to contact the new firm.

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