Swiss Finance Corporation Limited

Complaints Handling Process

Introduction

Swiss Finance Corporation Limited ("SFC") is committed to providing a high standard of service to its clients. However, we recognise that there may be occasions where a client is dissatisfied with the service they have received.

This document explains how you can raise a complaint with us and how we will deal with it.

What is a complaint?

A complaint is any written or verbal expression of dissatisfaction about our provision of, or failure to provide, a financial service, where you say that you have suffered, or may suffer, financial loss, material distress or material inconvenience.

A complaint does not need to be in writing and does not need to use the word "complaint".

How to raise a complaint

You can raise a complaint by contacting your usual contact at Swiss Finance Corp or by contacting us using the details below:

By email:
sanjay.amin@sfc-uk.com

By post:
FAO: Compliance
Swiss Finance Corp
58 Grosvenor Street, London, W1K 3JB

By telephone:
+442074120500

To help us review your complaint promptly, please provide as much relevant information as possible, including:

- your name and contact details;
- a clear summary of your complaint;
- any relevant dates, documents or correspondence; and
- how you would like us to respond.

How we will handle your complaint

We will deal with complaints fairly, consistently and promptly.

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Where we receive a complaint, we will:

- acknowledge your complaint promptly, unless it is resolved within the summary resolution period;
- investigate the complaint fairly and impartially;
- keep you informed about our progress where appropriate;
- provide a final response as soon as reasonably practicable; and
- where appropriate, explain any redress or remedial action we propose to take.

If we are able to resolve your complaint by the close of the third business day after we receive it, we may send you a Summary Resolution Communication. This will confirm that we consider the complaint resolved and explain your right to refer the complaint to the Financial Ombudsman Service if you remain dissatisfied.

For most complaints, if we have not resolved your complaint within eight weeks of receiving it, we will write to you explaining why we are not yet able to provide a final response and when we expect to do so.

If another firm is responsible

If we believe another firm is solely or jointly responsible for the subject matter of your complaint, we may forward the complaint to that firm. If we do this, we will tell you in writing and provide the other firm's contact details.

Financial Ombudsman Service

If you are not satisfied with our final response, or if we have not sent you a final response within the relevant timeframe, you may be able to refer your complaint to the Financial Ombudsman Service.

The Financial Ombudsman Service is a free, independent service for resolving complaints between financial services firms and their customers.

You will usually need to refer your complaint to the Financial Ombudsman Service within six months of the date of our final response. The Financial Ombudsman Service will be able to confirm whether it can consider your complaint.

Financial Ombudsman Service contact details

Website: www.financial-ombudsman.org.uk
Telephone: 0800 023 4567 or 0300 123 9123
Post: Financial Ombudsman Service, Exchange Tower, London E14 9SR

We will co-operate with the Financial Ombudsman Service in relation to any complaint it accepts.