

Complaints Procedure January 2023

Sapia Partners LLP (the “Firm”) is part of the IQ-EQ Group. Services may be provided directly by the Firm, or through its Appointed Representatives network. The Firm is responsible for handling all complaints that relate to its services, whether these are direct or through its Appointed Representative network.

The Firm strives to ensure that a high quality service is provided and customers are treated fairly. If you are dissatisfied with any aspect of the service you have received, we would like the opportunity to put things right.

The Firm’s Compliance Officer is responsible for undertaking the complaints management function, and can be contacted using the following details:

Telephone: +44 207 397 5450

Please note all calls will be recorded for training and monitoring purposes.

Name: Niall Markey

Email: sapia-complaints@iqeq.com

Address: 4th Floor, 3 More London Riverside, London, SE1 2AQ

In order to investigate the matter please provide us with all information pertaining to your complaint including your contact details.

We will acknowledge your complaint promptly and our acknowledgement to you will outline the nature of the complaint as it understood by us and the steps that we will be taking to resolve it. If you believe that we have misinterpreted the nature of complaint, please contact us without delay.

We will investigate your complaint competently, diligently and impartially and keep you informed of the progress of your complaint. It is our aim to resolve client complaints as quickly as possible and within 8 weeks from when your complaint was received. We will send a ‘final response’ with our findings and conclusion within 8 weeks after your complaint is received. The final response will confirm whether:

- the complaint is upheld;
- whether or not any redress or remedial actions are proposed; and
- inform you that if you are not satisfied with the response, you may be able to refer the complaint to an ADR entity or take civil action.

Along with our final response letter we will enclose either a copy of, or a link to the Financial Ombudsman Service explanatory leaflet and advise you that, if you decided to do so, you must refer the matter to the Financial Ombudsman Service within six months of the date of our final response letter, in order for them to have our permission to consider your complaint.

In limited cases we may not be able to fully respond to your complaint within 8 weeks from the date of receipt. In these circumstances, we will write to you outlining why and when we expect to be able to provide a final response. If this is the case our letter will also outline that you may be able to refer the complaint to the Financial Ombudsman Service.

Your rights

If you are an eligible complainant and;

- a) you have not received a final response within eight (8) weeks of making your complaint;
or
- b) you are not satisfied with the final response letter

you have the right to refer your complaint to the Financial Ombudsman Service, free of charge. The Firm will confirm in writing if you are considered an eligible complainant and are able to refer your complaint to the Financial Ombudsman Service.

Further details for the Financial Ombudsman Service and how to refer a complaint will be provided in the Firm's final response. Please note that if you wish to refer your matter to the Financial Ombudsman Service, you must do so within six (6) months of the date of the final response we send to you.

Further Information:

Contact details for the Financial Ombudsman Service:

Address: Financial Ombudsman Service Exchange Tower London E14 9SR

Telephone: 0800 0234 567 (free from landlines and mobiles) or 0300 1239123 (charged at a national rate)

Website: <http://www.financial-ombudsman.org.uk/>