

Seneca Investment Managers Limited Complaints Handling Procedure

You expect first class service from us and that is what we aim to provide, however we understand that problems do occasionally occur. If you are not happy about the service you have received, please tell us so we can investigate and where we agree there is an issue, we will try to put things right and put measures in place to try to prevent it from happening again.

You may make a complaint verbally or in writing by contacting us in the following ways:

- In writing to: The Complaints Officer, Seneca Investment Managers Limited, 10th Floor, Horton House, Exchange Flags, Liverpool, L2 3SP
- By email to: Seneca.compliance@senecaim.com
- By telephone: 0151 906 2450 and ask for the Compliance Department (*call charges may apply*)

To assist us in investigating your complaint please provide us with a full description of your complaint including the fund(s) involved and your full name and contact details.

Any queries concerning the complaints process should be addressed to the Compliance Officer at the address above.

Keeping You Informed

We will acknowledge your complaint in writing as soon as possible, usually within three days of receipt. Where the complaint was made orally, the letter will set out our understanding of your complaint and invite you to confirm in writing if our understanding is incorrect.

We aim to resolve all complaints promptly and the acknowledgement letter will often outline the result of the investigation. If the investigation has not been completed by then we will keep you informed of the measures being taken to resolve your complaint.

On completion of the investigation, we will write to you advising you of the outcome and how we reached our conclusion.

Financial Ombudsman Service

If you are dissatisfied with the outcome of our investigation and you are an eligible complainant, you may refer the matter to the Financial Ombudsman Service (FOS). This is a free, independent service that aims to resolve disputes between financial services companies and their customers.

Their website address is: <http://www.financial-ombudsman.org.uk/>

Their contact details are: The Financial Ombudsman Service, Exchange Tower, London, E14 9SR.
Customer helpline, telephone: 0800 023 4567.