



COMPLAINTS PROCEDURE

We take complaints from our clients very seriously and aim to resolve the issues immediately at point of contact. We will immediately refer the complaint to our complaints officer Peter Jones and start completing the complaints register. Where the issue can't be resolved immediately, the following action will be taken:

- An initial acknowledgement will be sent to the client within five working days of the complaint being received. This will be by the clients preferred contact method, whether that be letter, e-mail or text. The initial acknowledgement letter will include our complaints policy and this complaints procedure.
- We will keep the client informed of the progress of the investigation.
- If the complaint is actually for another firm, we'll refer the complaint to the relevant firm within five working days and let the client know we have done this.
- We will respond to the client with a written resolution within eight weeks of the complaint being raised, which:
 - a) accepts the complaint and, where appropriate, offers redress or remedial action; or
 - b) offers redress or remedial action without accepting the complaint; or
 - c) rejects the complaint and gives reasons for doing so.

This response will include a copy of the leaflet provided by the Pensions Ombudsman entitled 'Where to go for help with your pension complaint' and confirm the client has the right to refer their complaint to The Pensions Ombudsman free of charge. The letter will also confirm that The Pensions Ombudsman can be contacted at:

10 South Colonnade, Canary Wharf
London
E14 4PU
Tel: 0800 917 4487
Email: enquiries@pensions-ombudsman.org.uk
Website: www.pensions-ombudsman.org.uk

The final resolution letter to the client will include the following:

- The Pensions Ombudsman deal with complaints and disputes which concern the administration and/or management of occupational and personal pension schemes. Contact with The Pensions Ombudsman about a complaint needs to be made within three years of when the event(s) you are complaining about happened or, if later, within three years of when you first knew about it (or ought to have known about it). There is discretion for those time limits to be extended.

- You can also submit a complaint form online:

www.pensions-ombudsman.org.uk/our-service/make-a-complaint/

- If you have general requests for information guidance concerning your pension arrangements contact:

MoneyHelper:

Available online or over the phone, www.moneyhelper.org.uk or telephone 0800 011 3797 (from overseas +44 20 7932 5780).

We will complete the complaints register, if from the complaint we can improve on our systems or policies, we will do so.



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HMRC Practitioner Registration Number (ID) | 00017124

Registered with HMRC as a Trust and Company Service Provider | Reference 12587196
Full PI Insurance held
Member of AMPS (Association of Member-Directed Pension Schemes)