

**APT Wealth Management Limited**

**Complaints Process**

**2019**



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## **1. COMPLAINTS POLICY**

We aim to provide a first-class service to our customers and consumers alike. We pride ourselves on providing efficient and highly personalised customer service with an experienced and qualified team on hand to answer any questions a consumer may have. We endeavour to handle any complaint in a fair, secure, professional and timely fashion with the best interest of the consumer at hand.

It is the policy of the firm to:

- A. Ensure all complaints are dealt with fairly, securely, professionally and in a timely fashion.
- B. That all staff are sufficiently trained in customer service and particularly in the area of complaints handling.
- C. All complaints will be immediately escalated to senior management.
- D. In dealing with all complaints, that the consumer feels that their issue has been handled in an efficient, courteous and professional manner.
- E. In the event that any consumer is not satisfied with the outcome, they are notified of their rights to refer their complaint to the relevant ombudsman (Financial Services Ombudsman).

## **2. HOW TO MAKE A COMPLAINT?**

If you are unhappy with the level of service that you have received and would like to make a formal complaint, please contact the Head of Compliance below. All formal complaints should be received in writing either by email or by letter.

Head of Compliance  
APT Wealth Management Limited,  
Apex Business Centre,  
Blackthorn Road,  
Sandyford,  
Dublin 18.

Telephone: 01 2063010

Fax: 01 2063017

Email: [info@apt-wealth.com](mailto:info@apt-wealth.com)

## **3. WHAT TO INCLUDE IN THE COMPLAINT?**

Please include any information that you think would be relevant to the complaint. The names, dates, and subject matter. However, if you do not have the exact dates any information you can provide would be helpful to start the complaints investigation.

## **4. WHEN WILL I HEAR BACK?**

We will confirm receipt of your complaint within five business days and detail the expected timeframe that we endeavour to investigate your complaint. You will be given the contact name of the person who will be dealing with your complaint. This person is the point of contact until the complaint is resolved. The contact person will then perform an investigation. Every 20 business days, starting from the date the complaint was received, we will provide

an update on the progress of the investigation. The complaint must be resolved within 40 business days. If it has not been resolved within 35 business days, the firm will provide an update to the complainant of the anticipated timeframe within which the Firm expects to resolve the complaint, at this stage we will inform the consumer that they can refer the matter to the relevant ombudsman and provide the customer with the contact details of that ombudsman.

**5. ONCE THE INVESTIGATION IS COMPLETE?**

1. Once the investigation is complete, the contact person will advise the client on paper or on another durable medium of:
  - A. The outcome of the investigation
  - B. Where applicable, the terms of any offer or settlement being made;
  - C. That the consumer can refer the matter to the relevant ombudsman; and
  - D. Contact details of such ombudsman.
2. All correspondence on complaints will be kept for a minimum of six years since the date of last correspondence.

**6. QUESTIONS**

If you have any questions on the complaints process or anything contained in this policy, please contact Head of Compliance.



APT WEALTH MANAGEMENT LIMITED

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APT Wealth Management Limited is regulated by the Central Bank of Ireland.