



APT Wealth Management Limited

Complaints Process

2022



APT WEALTH MANAGEMENT LIMITED

Block B 1st Floor, Apex Business Centre,

Blackthorn Road, Sandyford, Dublin 18

01 206 3010 | info@apt-wealth.com | www.apt-wealth.com

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

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.

HOW TO MAKE A COMPLAINT?

If you are unhappy with the level of service that you have received and would like to make a complaint, please contact the Head of Compliance below. Complaints can be raised in writing (by email or letter), by phone or in person. Where a complaint is made orally, we may request you to put the complaint in writing.

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

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.

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.

An update on the progress of the investigation will be provided at intervals not greater than 20 business days from receipt of the complaint. We will endeavour to resolve the complaint within 40 business days. However, if the complaint is unlikely to be resolved within 40 business days, we will provide an update to you of the anticipated timeframe within which the firm expects to resolve the complaint, of your entitlement to refer your complaint to the Financial Services & Pensions Ombudsman (FSPO) and the contact details of the FSPO.

ONCE THE INVESTIGATION IS COMPLETE?

Once the investigation is complete, the contact person will advise you 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 complainant can refer the matter to the FSPO; and
- D. Contact details of FSPO.

Financial Services and Pensions Ombudsman

Lincoln House, Lincoln Place, Dublin 2, D02 VH29

Call: 1890 88 20 90

Phone: 353 1 567 7000

Email: info@fspoi.ie

All correspondence on complaints will be kept for a minimum of six years since the date of last correspondence.

QUESTIONS

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



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