

David Roberts & Partners Group

Complaints Procedure

Summary	This document provides information on how we will act in the event that we receive a complaint. It describes the procedures that we will undertake, which are in accordance with the requirements of our regulator, the Financial Conduct Authority.
Who should I send my complaint to?	All complaints should be referred in the first instance to the Managing Director of your respective DR&P Group business. Should you be unsure who to contact, please direct your concerns to: - Mrs Cathy Pritchard Operations and Compliance Manager David Roberts & Partners (Insurance Brokers) Ltd Southport Business Park, Wight Moss Way, Southport, PR8 4HQ cpritchard@drpinsurance.com T- 01704 508 400 Alternatively, you may ask to speak with our Chief Executive Officer.
How long will it take?	Within five business days of receipt, we will send a written acknowledgement of the complaint, which will include: i. The name of the complaint investigator and direct contact details; ii. A statement that a written report will follow once the investigation is complete; iii. In the case of an oral complaint only, a statement of our understanding of the nature of the complaint and a request for you, the complainant, to confirm this in writing. In the event that the investigation has not been completed within four weeks of receipt of the complaint, we will write to you again and indicate when it is expected the investigation will be complete. Every effort will be made to resolve complaints within the first four weeks. If the investigation is still not completed after eight weeks, a further letter will be sent explaining that we are still not in a position to provide a final response, the reasons for the delay and provide a further target date for resolution. This letter will advise you that if you are an eligible complainant you have the right to refer the matter to the Financial Ombudsman Service (FOS) if you are dissatisfied with the delay. We will enclose a copy of the FOS explanatory leaflet 'Your complaint and the Ombudsman'.
If I am unhappy with your decision can I refer the matter to the Financial Ombudsman Service ?	Once the investigation is complete, a letter will be sent by a Managing Director that will provide you with a summary of our investigation and our decision in the matter. This will also include a copy of the FOS's explanatory booklet (if not already issued). You may be able to refer the matter to the Financial Ombudsman Service ("FOS"). However, you must be an eligible complainant. Full details can be obtained from their website www.financial-ombudsman.org.uk or by contacting them on 0800 023 4567. You must do so within six months of the date of the letter or you may lose the right to refer the complaint.
Complaints which relate to advice or services provided by another firm.	In the event that David Roberts & Partners Group receives a complaint where we have reasonable grounds to be satisfied that it relates to another firm, we will carry out the following within 5 days of receiving the initial complaint: • Positively identify the other firm, who we believe are responsible and establish a current address and point of contact. • Write to the firm, enclosing a copy of the original complaint letter / notification, explaining why we believe they are responsible for dealing with the complaint. • Write to you, explaining the action taken, enclose a copy of the letter sent to the other firm and invite you to contact the new firm.