



# Claims and Complaints handling policy

iM Global Partner UK (Branch)

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PUBLISHED

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# 1. Object

In accordance with COLL 9.4.5 of the FCA Rules, this document presents the approach adopted by iM Global Partner UK (iMGP UK) for dealing with complaints from UK investors and distributors in relation to products operated by iM Global Partner (iMGP).

# 2. Complaints

Complaints may be made by any investor into recognised schemes distributed by iM Global Partner UK. Complaints should be sent in the English language in writing to:

*The Compliance Officer  
iM Global Partner UK  
33 Cornhill  
EC3V 3ND London*

If any employee or officer of iMGP receives correspondence from an investor which could be construed as a complaint they should immediately forward it to the Compliance Officer (or to a director in his absence).

# 3. Initial Response

The CFO will promptly review any complaint to assess whether it merits transmission to the operator of the scheme for consideration. In any event the Compliance Officer (or in his absence a director) will provide a response within three working days either, noting receipt and confirming any action that the firm intends to take, or confirming that the matter has been referred to the operator for a substantive response.

# 4. Substantive Response

Where the complaint has been forwarded to the operator, the Compliance Officer (or in his absence a director) will follow up to ensure a substantive response has been provided within one month of the initial complaint. If the complaint involves complex matters such that it cannot be resolved within one month, the Compliance Officer (or in his absence a director) will provide the investor with regular updates as to progress and the reason for any delay. Where an investor has suffered loss as a result of the complaint and is entitled to redress, such redress should be aimed at restoring the investor to the position he would have been in had the matter giving rise to the complaint not arisen.

# 5. Ombudsman Service

iMGP UK does not intend to distribute funds directly to retail investors in the UK and accordingly it is not expected to have any eligible complainants. When providing the initial response the Compliance Officer (or in his absence a director) will confirm whether iMGP UK considers the investor to be an eligible complainant or not. If the investor is an eligible complainant the complainant will be provided with FOS's standard explanatory leaflet, their website address and confirmation that they can complain to FOS if not satisfied.

## 6. Record Keeping

Records of complaints, responses thereto and any supporting information will be retained for at least six years following issue of any correspondence related thereto.

## 7. Compliance Committee Approval

This policy was approved by the Compliance Committee of iMGP on March 30th, 2020 and will be reviewed at least yearly.