

COMPLAINTS POLICY AND PROCEDURE

1. Policy

Six Wands Aspects Limited is committed to promoting customer satisfaction by encouraging feedback from customers, including complaints.

Six Wands Aspects Limited is committed to resolving complaints received, and recognises the rights of complainants to have their complaint dealt with fairly, effectively and efficiently. Six Wands Aspects Limited' Limited complaints handling procedures recognise the need to be equitable, objective and unbiased to both the complainant and the organisation or personnel against whom the complaint is made.

Six Wands Aspects Limited ensures that all persons who may be the first point of receipt of complaints are made aware of Six Wands Aspects Limited complaints-handling procedures, and of their roles, responsibilities and authority in respect of complaints.

2. Application of Policy and Procedures

Six Wands Aspects Limited will apply this policy and related procedures when dealing with all complaints made by clients regarding any advice or services provided by Six Wands Aspects Limited. This includes any advice or opinions contained in flyers, brochures and other promotional material prepared by Six Wands Aspects Limited.

3. Objectives

Six Wands Aspects Limited complaints handling procedures have been developed to:

- Provide effective, efficient, equitable and accessible complaints handling procedures.
- Provide Six Wands Aspects Limited with a clear framework for handling complaints in accordance with its legal obligations.
- Recognise, enhance and protect the interests of Six Wands Aspects Limited customers, as well as managing their needs and expectations.
- Identify, through analysis, evaluation and review of complaints, opportunities to improve on the quality of Six Wands Aspects Limited services, as well as the complaints-handling process.
- Increase the level of customer satisfaction with the delivery of services and enhance Six Wands Aspects Limited relationship with its customers.
- Provide information to customers on Six Wands Aspects Limited complaints handling procedures.

Procedures

Making a complaint

- a) A customer who has a complaint and wishes to bring this to Six Wands Aspects Limited attention should bring their complaint to the attention of:

Six Wands Aspects Limited
Is a Limited company registered in England & Wales
Registered office address: Office FF6, 19 Hereward Rise, Halesowen, West Midlands B62 8AN
Telephone: 0121 289 2080
Company Registration number **11103025**
Domain: www.6wands.com

The Director
Six Wands Aspects Limited
Office FF6, 19 Hereward Rise, Halesowen, West Midlands, B62 8AN
Phone: 0121 289 2080
Email: info@6wands.com

- b) Where requested, the Director will provide assistance to complainants in the formulation and lodgement of complaints.
- c) Information on the availability of complaints-handling procedures and contact details for complaints are outlined to customers on the Six Wands Aspects Limited website.

4. Complaints Received by Six Wands Aspects

a) Written Complaints

A Six Wands Aspects Limited associate who receives a written complaint must refer it to the Director, together with any other relevant information relating to the complaint, as soon as possible.

b) Verbal Complaints

Where a verbal conversation with a client leads to the client wishing to make a complaint, the Six Wands Aspects Limited associate dealing with the client should make a case note of the issue (including details such as name of the client, contact details, nature of the complaint, etc), and explain to the client that his/her complaint will be investigated and a response provided in writing. All this information is recorded in a Complaint Registration Summary Form (see Appendix 1) which is then provided to The Director without further delay. Where the matter is complex, the client should be encouraged to put their complaint in writing.

5. Confidentiality

Personal information is handled in accordance with the General Data Protection Regulations (GDPR) and Six Wands Aspects Limited' Privacy Policy. This refers to maintaining confidentiality of personal information of the complainant. Generally, the complaint and any information related to it is kept confidential except with the consent of the complainant.

6. Recording a complaint

All complaints received by The Director are recorded by filling in a Complaint Registration Summary Form which is filed in the Complaints Register.

7. Initial acknowledgement

Receipt of a complaint must be acknowledged as soon as possible and, in any event, within two business days of it being received by Six Wands Aspects Limited. Use the format set out in Appendix 2 as a guide. If a complaint is already resolved by this time, an acknowledgement is not required. Advising the

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complainant of a decision in writing within this timeframe is deemed to be acknowledgement.

8. Timing of complaint resolution

The Director is to ensure that a final response is provided to the complainant as soon as possible and, in any event, within 45 days of it being received by Six Wands Aspects Limited.

9. Resolving a Complaint

The Director has the capacity to resolve complaints and to implement appropriate remedies when resolving complaints.

The Director may obtain assistance from any staff in order to resolve a complaint and this shall be promptly given. Where appropriate, a draft complaint response may be prepared by another staff member with the agreement of The Director. The response to the complaint must be approved by The Director before it is issued.

When resolving a complaint, The Director must make every reasonable effort to investigate all relevant circumstances and information surrounding the complaint.

When a final response to a complaint is provided, The Director must advise the complainant of the decision as soon as practicable after deciding the outcome. In practice the final response must be sent to the complainant within 45 days from the date the complaint was received. It should be sent no later than 5 business days after the outcome is approved by the Director.

A final response requires the complainant to be advised of the outcome of their complaint (including reasons for the decision where not in their favour), their right to take their complaint to Financial Reporting Council (FRC).

The Director must record the decision and the reasons for the decision on the Complaint Registration Summary Form.

10. All Charges

Complaints are handled free of charge to the complainant, subject to any statutory requirements.

11. The Complaints Register

The Director must maintain a Complaints Register. In respect of each complaint, the Complaints Register must contain a completed Complaint Registration Summary Form, copies of all correspondence between Six Wands Aspects Limited and the complainant, any relevant file notes and supporting documentation.

The Director must keep the records of a complaint for a minimum period of 7 years after the date of last correspondence on the complaint.

12. Analysis and reporting

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Analysis and evaluation of data gathered in the complaints process will help Six Wands determine the causes of complaints (e.g. any systemic and recurring problems) and whether remedial action is necessary.

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