



## COMPLAINT HANDLING PROCEDURE

Imperium Fund Services Limited (“IFSL”) are committed to providing the highest quality service to our clients. By you letting us know when things go wrong and when we do not meet your expectations, you give us the chance to make it right and help us identify the areas where we need to improve.

Below we have provided details of what you can do in the event that you have cause to complain about our services and/or products and who to contact if you are not satisfied with our response.

If you are not satisfied with any aspect of our service or products please contact:

Your IFSL contact being the person that you have been liaising with regarding your engagement with IFSL; OR the Compliance Officer, Paul Le Tocq ([paul.letocq@imperiumfs.com](mailto:paul.letocq@imperiumfs.com)).

### **What we will do when we receive your complaint**

We will promptly (no longer than 5 business days) acknowledge its receipt and confirm when you will expect to hear from us. We will provide an assurance to you that your complaint is being taken seriously and is being investigated. We will aim to resolve your complaint as quickly as possible (usually within 4 weeks, but in any event, no longer than 3 months).

Once we consider your complaint resolved we will send you a final response with a timeline for you to respond prior to us closing the complaint. If your complaint is not upheld we will clearly state the reason for not upholding the complaint in our finalise response.

If your complaint falls into the definition of “significant” we are obliged to notify the Guernsey Financial Services Commission (“GFSC”) that you have made a complaint and you may also inform the Commission directly of the complaint.

**A Complaint** is an oral or written expression of dissatisfaction, whether justified or not, from or on behalf of a person about the provision, or failure to provide a financial service in respect of activities performance by the financial services business under its licence with the GFSC, which alleges that the complainant has suffered, or may suffer, financial loss, material distress, or material inconvenience.

**A Significant Complaint** is a complaint alleging a breach of the Law, mala fides, malpractice or impropriety, or repetition or recurrence of a matter previously complained of, whether significant or otherwise.

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### **What you can do if you remain dissatisfied**

If you are not satisfied with our final written response to your complaint you have the right to refer the matter in writing to the Channel Island Financial Ombudsman (“CIFO”) ([enquiries@ci-fo.org](mailto:enquiries@ci-fo.org)) for further consideration. CIFO is the joint operational of two statutory ombudsman roles, established in law by the Financial Services Ombudsman (Jersey) Law 2014 and the Financial Services Ombudsman (Bailiwick of Guernsey) Law, 2014. The primary role of CIFO is to resolve eligible complaints about financial services provided in/from Jersey, Guernsey, Alderney and Sark. Individuals, microenterprises and, subject to consultation, small local charities will be able to bring complaints. CIFO operates from a shared office in Jersey, with the same board, ombudsman and staff. The information is available from the CIFO website <https://www.ci.fo.org>.

### **What you can do if you remain dissatisfied**

If a complaint is not resolved within 3 months, it will be reported by IFSL to the GFSC and you may also inform the GFSC directly of your complaint.

IFSL will continue to communicate with you in order to resolve your concerns.

### **What records will we retain of the complaint**

Your complaint will be recorded on IFSL’s complaint register and will be retained for 6 years in accordance with the IFSL record retention procedures.