

# ARLINGTON CAPITAL

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## **Complaints Handling Summary Policy**

Arlington Capital (Arlington) always strives to deliver the best possible service we can, however, if you feel we have fallen short of these high standards and you wish to make a complaint then please contact us. Arlington has designated a complaints officer, Nick Britten-Long ([nbrittenlong@arlingtoncapital.ltd](mailto:nbrittenlong@arlingtoncapital.ltd)), who is responsible for ensuring complaints are managed in accordance with the FCA Rules and the provisions of the Handbook. The complaints officer will also be responsible for ensuring records of complaints are kept in accordance with the FCA Rules. It is important when writing to us that you provide as much detail as possible, in order for us to investigate the complaint correctly.

We will acknowledge the complaint promptly and will enclose a copy of this document. We will then keep you informed of the progress of your complaint.

Once a complaint has been received by Arlington Capital will investigate the complaint competently, diligently and impartially. The firm will assess fairly, consistently and promptly whether the complaint should be upheld and what remedial action (if any) or redress (or both) may be appropriate. If appropriate, Arlington will judge whether it has reasonable grounds to be satisfied that another respondent may be solely or jointly responsible for the matter alleged in the complaint.

Arlington will, on establishing its findings explain to the complainant promptly and, in a way that is fair, clear and not misleading, its assessment of the complaint, its decision on it, and any offer of remedial action or redress and will comply promptly with any offer of remedial action or redress accepted by the complainant.

Most of Arlington Capital's clients will have no recourse to the Financial Ombudsman Service (FOS), as the firm is only licensed to serve professional clients. However, where a complaint against Arlington Capital has been referred to the FOS, they will be required to fully co-operate with the FOS and comply with any settlements or awards made by it.

Arlington Capital will respond to complaints within the timeframe provided for under the FCA rules (*DISP 1.6*) and, in any event, as soon as practical. Set out below are a series of time guidance that the firm will meet in order to comply with its complaint handling obligations under the FCA Rules and Guidance:

- *Acknowledgement of the complaint:* upon receipt of the complaint, Arlington Capital will endeavour to send a prompt written acknowledgment of the complaint and assurance that Arlington Capital is dealing with the complaint within *5 business days* of receipt. The written acknowledgement of the complaint will also include the firm's written summary of its internal complaints procedure and details of the person responsible for dealing with the complaint (i.e. name, job title and contact details).
- *Follow-up communication:* if the complaint is not resolved within *four weeks*, then a further holding letter or final response updating the complainant on the current status

of his/her complaint must be sent. Such letter must also inform the complainant when further contact will be made.

- *Final response*: a final or other response must be sent to the complainant within *eight weeks*.

We shall deem the matter closed when:

- (i) Our investigation has been completed and a Final Decision Letter has been sent to the complainant.
- (ii) Where the complainant has indicated, in writing, acceptance of any earlier response, where appropriate.

**March 2021**