

Complaints Procedure

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MIFID Complaints Procedure

How to Make a Complaint

If you would like to make a complaint, please contact your principal contact at Ptarmigan Capital or the Head of Compliance who can be contacted by email (acase@ptarmigancapital.co.uk), by telephone (+44 (0) 203 034 1135) or by post (Head of Compliance, 4th Floor Rex House, 4-12 Regent Street, London, SW1Y 4PE).

It is our policy to treat all complainants the same, however, MIFID Complaints are specifically made by or on behalf of an eligible complainant (as defined by the FCA in the Dispute Resolution: Complaints Sourcebook Section 2.7.3) about a regulated activity where there is an allegation that the complainant has suffered or may suffer, financial loss, material distress or material inconvenience.

Our Complaints Procedure

Ptarmigan Capital has procedures for handling your complaints fairly and promptly and will try to resolve your complaints as quickly as possible. Any complaint we receive will be referred to our Head of Compliance at the earliest opportunity. We will acknowledge your complaint promptly and in writing and, if necessary, we will contact you to clarify any aspects of the complaint which are unclear before performing our own investigation.

During the investigation, we will endeavour to remain impartial and assess the information relating to the complaint fairly, consistently and promptly to identify any remedial action and/or redress that may be appropriate. Once we conclude our investigation, we will communicate our findings and proposed response. We will advise you if we cannot provide an immediate response and keep you informed of our progress; we will give you our final response not later than eight weeks after the date of your complaint.

Our final response will include the firm's decision and reasons for it. If compensation is offered, we will include a clear calculation of the amount. We will also include details of the Financial Ombudsman Service if you are an eligible complainant, explaining that if you are still not satisfied, you must refer the letter to the Financial Ombudsman within 6 months of the date of the response letter. We may consent to waive this time limit, and if so, we will include this consent in the response letter.

For complaints resolved before the close of business on the 3rd business day after the complaint was received, we will send you a written communication which:

- › notes that you have made a MIFID complaint and informs you that we consider the matter is resolved;

- › informs you that if you subsequently decide that you are dissatisfied the resolution of the complaint, you may refer back to us for further consideration or refer the complaint to the Financial Ombudsman Service;
- › indicates whether or not we consent to waive the relevant time limits; and
- › provides you with the website details of the Financial Ombudsman Service and informs you of the availability of additional information on the website of Financial Ombudsman service.

We will consider a complaint closed when we have made our final response to you. This does not affect any rights you may have to refer the matter to the Financial Ombudsman Service.

Financial Ombudsman Service

If you feel that your complaint has not been dealt with satisfactorily, you may be eligible to refer your complaint to the Financial Ombudsman Service for an independent assessment. Eligibility for the Financial Ombudsman Service usually applies when the Firm has sent its final position to you or when eight weeks have elapsed since we received your complaint.

Further information is available at www.financial-ombudsman.org.uk and the Financial Ombudsman can be contacted by email (complaint.info@financial-ombudsman.org.uk), by telephone (0800 023 4567) or by post (The Financial Ombudsman service, Exchange Tower, London E14 9SR).