



FROST GROUP LIMITED

COMPLAINTS PROCEDURE

FROST GROUP LIMITED ("FGL")
COMPLAINTS PROCEDURE ADVISORY AND MEDIATION WORK

- 1 FGL strives to provide a professional and efficient service in all types of work which it undertakes. This includes advisory work and mediation work.
- 2 Once the complaint has been received it will be immediately passed to both the Complaints Officer and the Officeholder. The Officeholder must also ensure that the other Insolvency Practitioners are informed of the nature of the complaint.
- 3 Within 24 hours of the complaint being received, a copy of this complaints procedure must be sent to the Complainant, together with a letter acknowledging the complaint and setting out when a full response can be expected to be received.
- 4 This will be the responsibility of the Complaints Officer to ensure this complaints procedure and a letter of acknowledgement are sent within 24 hours of a complaint being received. The Complaints Officer is responsible for managing the process of dealing with the complaint assisted by the directors, consultants and staff working on the assignment. When dealing with complaints, it is FGL's aim to remove the "emotion" from the process to ensure that the facts of the matter are fully investigated and considered.
- 5 The complaint will immediately be logged into the Complaints Schedule maintained by FGL by the Complaints Officer. This schedule will be updated throughout the process.
- 6 The Complaints Officer and personnel working on the assignment will hold a meeting as soon as practicable, to organise a strategy to investigate the complaint. This will include a timetable of events and full strategy detailing what steps will be taken. As a result of the strategy decided upon, it might be necessary for the Complaints Officer to review the file to fully understand the issue.
- 7 It will be the responsibility of the Complaints Officer to ensure that a full response is drafted in response to the complaint. This will have to be approved by the Officeholder and sent back to the Complainant. FGL aim to provide a full response to any complaint received within 28 days of the complaint first being received. If FGL is unable to meet this target, the Complaints Officer will write to the Complainant setting out the reasons why this is unachievable and stating date by which a full response will be provided. If the Complainant remains unsatisfied it will responsibility of the Complaints Officer to continue to manage the process with the aim of ensuring the Complainant's concerns are fully addressed.
- 8 Where work is undertaken for an individual that does not involve a formal insolvency appointment or mediation assignment, this work will be covered by FGL's authorisation with the Financial Conduct Authority ("FCA") under reference number: 643855. The attached link to the FCA website describes how complaints should be dealt with in respect of firm's authorised by the FCA.
- 9 <http://www.fca.org.uk/consumers/complaints-and-compensation/how-to-complain>
- 10 As with any complaints that may arise with regard to formal insolvency appointments, issues arising relating to work covered by FGL's FCA authorisation should in the first instance be addressed the Compliance Officer where in the procedure discussed in points 3 to 7 will be followed. If the complainant remains unsatisfied after this, s/he should write to the Financial Ombudsman Service at Exchange House, London E14 9SR or by e-mail at complaint.info@financial-ombudsman.org.uk; telephone: 020 7964 1000; fax: 020 7964 100.1
- 11 In order to comply with the Provision of Services Regulations 2009, re displayed on our website at www.frostgroup.co.uk/about/policies-and-procedures This professional indemnity insurance provides worldwide coverage, excluding professional business carried out from an office in the United States of America or Canada, and any action for a claim bought in any court in the United States of America or Canada.
- 12 FGL's Complaints Officer's contact details are shown below:

Frost Group Limited
Airport House
Purley Way
Croydon
CR0 0XZ

Telephone: 0845 260 0101
Fax: 0208 915 1018
E-mail: jeremyf@frostbr.co.uk