

# Freight Investor Services Limited

## Complaints Handling Procedure Summary

A summary of our complaints handling processes is detailed below:

A complaint or issue of dissatisfaction should be submitted to Freight Investor Services Limited (“FIS”, “Firm”, “Our”, “Us”), free of charge, in the following ways to the Firm’s complaints management function:

In writing to: Silvia Rojas at 9<sup>th</sup> floor, 80 Cannon Street, London EC4N 6HL, UK.

By phone: +44 (0) 207 090 1120

By email: [silviar@freightinvestor.com](mailto:silviar@freightinvestor.com)

On receipt of your communication we will undertake an assessment as to whether this is a complaint and should be handled in line with our internal complaints policy.

If you are a MiFID complainant we will provide written acknowledgement of your complaint promptly and will keep you informed of our progress in reviewing your complaint.

Where we receive MiFID complaints we will ensure that we investigate the complaints competently and diligently. We will review the complaint impartially and will ensure that we seek additional information where necessary. Our assessment of the complaint will be made promptly, fairly and consistently. We will review the subject matter of the complaint and assess whether the complaint should be upheld. We will assess the remedial action or redress that is appropriate if the complaint is upheld and will also assess whether another respondent party who is solely or jointly responsible for the issue raised within the complaint. Where the offer of remedial action or redress is accepted, we will ensure that we comply with the terms of this.

If the communication is a complaint and you are an eligible complainant we will endeavour to provide you with a resolution within **three business days**. We will provide you with a written summary resolution which will contain details as to how you can escalate your complaint to the Financial Ombudsman Service (“FOS”), should you not be satisfied with our resolution.

Within our written resolution we will provide details as to any findings we have made as a result of our investigation into your complaint and whether any remedial action will be taken by ourselves. We will ask you to confirm if you are satisfied with our conclusion.

If you are not satisfied with our conclusion we will not close your complaint and will continue to seek resolution. To note, you may raise your complaint to the FOS if you feel dissatisfied with our resolution. There are set time limits in which you are able to raise your complaint to the FOS and we will provide these time limits within our final response. We reserve the right to waive this time limit and if we do waive the relevant time limit we will provide you with notice of this as per DISP I Annex 3R.

If we feel your complaint requires further review and we cannot respond to you with a resolution within three business days we will inform you of this. We will provide you with details of who is responsible for handling your complaint at FIS as they will provide you with updates.

We will provide you with a written Final Response Letter within eight weeks of the date of your original complaint. Within this letter we will provide details as to any findings we have made as a result of our investigation into your complaint and whether any remedial action will be taken by ourselves. We will ask you to confirm if you are satisfied with our conclusion.

If you should wish and you are an eligible complainant, you may refer your complaint to the FOS at:

Address	The Financial Ombudsman Service Exchange Tower London E14 9SR
Email	<a href="mailto:complaint.info@financial-ombudsman.org.uk">complaint.info@financial-ombudsman.org.uk</a>
Telephone	0800 023 4 567 or 0300 123 9 123

Further information is available on the website for the Financial Ombudsman Service which can be found here: <http://www.financial-ombudsman.org.uk/>