



Triple Point Complaints Policy

How to complain
and how we will
respond

October 2019

TRIPLE POINT Complaints Policy

Introduction

Triple Point Investment Management LLP (“TPIM”) and Triple Point Administration LLP (“TPAL”) are both client-facing entities within the Triple Point Group. Each is authorised and regulated by the Financial Conduct Authority (“FCA”) in the United Kingdom.

Each firm is required to have in place effective and transparent procedures for the reasonable and prompt handling of complaints we may receive from an investor in a fund that we manage or operate.

This document provides more information about our complaints handling procedures that apply to both the above firms, and which we will follow in the event that you make a complaint.

Our preference is to avoid circumstances where a complaint may arise in the first place, however, if something does go wrong, we will endeavour to resolve issues fairly and promptly if we can. Either way, we always welcome feedback, good or bad, because it enables us to improve our processes and the experience that our Clients have of Triple Point – please don’t hesitate to get in touch if you are able to share your thoughts.

Does this policy apply to you?

It is important to note that we will treat all Complainants equally and fairly – our reputation is very important to us and we will strive to ensure that our clients are satisfied with the services that we provide, wherever we can.

However, only “eligible complainants” as defined by the FCA will be able to refer complaints to the Financial Ombudsman Service (“FOS”) if they remain ultimately unsatisfied with the way that we have handled their complaint.

If you have been categorised as a professional client, you will only be able to refer your complaint to the FOS if you are an individual acting for purposes outside your trade, business, craft or profession.

How can you make a complaint?

You can make a complaint by any reasonable means – for example, by letter, email, telephone or in person. It is free of charge to complain. To make a complaint, please contact either your usual Triple Point relationship manager, or, if you prefer:

FAO: Head of Compliance
Triple Point Group
Address: 1 King William Street
London EC4N 7AF
Telephone: 020 7201 8989
email: contact@triplepoint.co.uk

What will we do once we have received your complaint?

We will promptly acknowledge your complaint and let you know the name and title of the person that is handling your complaint.

This individual will have the authority necessary to investigate and settle the complaint, and will be by default the head of our compliance team or another Principal or Partner of the Group.

Investigating and resolving your complaint

We will investigate your complaint competently, diligently and impartially with a view to deciding whether the complaint should be upheld and whether any remedial action and / or redress may be appropriate, and we will send our conclusions to you.

If we decide that redress is appropriate we will aim to provide you with fair compensation for any acts or omissions for which we are responsible. If you accept our offer, we will promptly provide the compensation to you.

Aside from your ability to complain, we welcome and encourage feedback, both negative and positive, which is valuable to our efforts to continually improve our services.

If you have any feedback please do let us know.

Our timetable for responding to you

Once we have acknowledged your complaint we will keep you informed of our progress. If we are able to quickly resolve your complaint, we will send you a Summary Resolution Communication, which will:

- Acknowledge your complaint and confirm that we now consider it to be resolved;
- Explain that you may still be able to refer your complaint to the Financial Ombudsman Service (FOS) if you subsequently disagree with our decision, and the timescales you have for doing this; and
- Provide information about how to contact the FOS.

If we are unable to resolve your complaint quickly, we will, within eight weeks of receiving your complaint, send you either a final response or a written response that explains why we are not in a position to make a final response and when we expect to provide one.

Our response will also:

- Inform you that, if you remain dissatisfied, you may refer the complaint to the FOS; and
- Enclose a copy of, or an electronic link to, the FOS standard explanatory leaflet.

Financial Ombudsman Service ("FOS")

If you are an Eligible Complainant, you are able to refer a complaint to the FOS if you are not satisfied with the outcome of your complaint. Your rights are set out in the FOS's leaflet "Your Complaint and the Ombudsman" which can be found online at:

www.financial-ombudsman.org.uk/publications/consumer-leaflet.htm

Please remember that if you wish to refer a complaint to the FOS, you must do so within six months of the date of our final response.

Alternatively, if you are based outside of the UK you can register your complaint on the Online Dispute Resolution (ODR) Platform using the link:

<http://ec.europa.eu/consumers/odr/>

Closing complaints

We will regard your complaint as closed in the following circumstances:

- Once we have sent you a final response;
- Where you have told us that you accept an earlier response that we have sent to you; or
- If you refer your complaint to the FOS, when the FOS informs us that the complaint has been closed.

Questions

If you have any questions about our complaints process, please contact the Head of Compliance at Triple Point Group, 1 King William Street, London, EC4N 7AF, GB



For further information please contact



Triple Point

Adviser and Investor Enquiries

T 020 7201 8990
E contact@triplepoint.co.uk

1 King William Street, London, EC4N

Triple Point is the trading name for the Triple Point Group which includes the following companies and associated entities: Triple Point Investment Management LLP registered in England & Wales no. OC321250, authorised and regulated by the Financial Conduct Authority no. 456597, Triple Point Administration LLP registered in England & Wales no. OC391352 and authorised and regulated by the Financial Conduct Authority no. 618187, and TP Nominees Limited registered in England & Wales no. 07839571, all of 1 King William Street, London, EC4N 7AF, GB

www.triplepoint.co.uk