

This document outlines what customers should do if they wish to make a complaint to Aubrey Capital Management and the procedures that we will follow on receipt of a complaint.

## How do I complain?

We recommend you put your complaint in writing, but please contact us by whatever method suits you best – post, phone, fax or email.

Please write to or contact our Compliance Officer at:

Aubrey Capital Management Limited  
10 Coates Crescent  
Edinburgh  
EH3 7AL  
Tel: 0131 226 2083  
Fax: 0131 226 2095  
Email: [Iain.Hay@aubreycm.co.uk](mailto:Iain.Hay@aubreycm.co.uk)

## What information should I provide?

As well as outlining your complaint and any action you would like us to take, it would be helpful if you could include any account reference numbers you have and a contact telephone number or email address.

If you are writing to us, it would also be helpful if you could send copies of any relevant documents.

## What happens when you receive my complaint?

Your complaint will be handled by our Compliance Officer in line with our established complaints procedures. We will always try to provide you with an answer immediately and preferably within 24 hours.

## What happens if you can't resolve my complaint immediately?

Our regulator, the Financial Conduct Authority, stipulates certain timings for responding to complaints. These should be viewed as maximum times and Aubrey Capital Management will make every effort to resolve your complaint as quickly as possible and will keep you fully informed throughout our investigation.

## The process

Our Compliance Officer will contact you in writing within 3 business days in order to:

- acknowledge the complaint;
- set out our understanding of the nature of your complaint;
- confirm the name and title of the person investigating the complaint; and
- refer to the availability of the Financial Ombudsman Service.

If your complaint cannot be resolved in our initial response we will keep you informed of the progress being made in trying to resolve it. If we have not resolved your complaint within 8 weeks of its receipt, we will send you either:

- a written response explaining that we are still not in a position to make a final response detailing any reasons for the delay and an indication of when we expect to provide a final response. If you are dissatisfied with the delay, we will inform you that you may refer your complaint to the Financial Ombudsman Service (FOS); or

- a final response letter, which will summarise the complaint and the outcome of our investigations. It will acknowledge any fault on our part and, where applicable, details of any offer being made to settle the complaint. If you are not happy with the final response received, please contact us again. If, however, we cannot resolve the complaint to your satisfaction, you have the right to refer your complaint to the FOS. The contact details for the FOS are as detailed below:

The Financial Ombudsman Service  
Exchange Tower,  
Harbour Exchange,  
London,  
E14 9SR  
[www.financial-ombudsman.org.uk](http://www.financial-ombudsman.org.uk)

Approved by Aubrey Risk & Compliance Committee February 2024