

Complaints handling procedure

September 2023

This leaflet outlines for customers what they should do if they wish to make a complaint to Baillie Gifford and the procedures that will be followed by Baillie Gifford on receipt of a complaint.

How do I complain?

If you have not already done so and wish to make a complaint to Baillie Gifford, you can telephone our Client Relations Team on **0800 917 2113** or **+44 (0)131 275 3499** if calling from overseas.

Alternatively, you can write to us at

Baillie Gifford,
Calton Square,
Edinburgh
EH1 3AN

or email us at

IndividualInvestorComplaints@bailliegifford.com

What information should I provide?

As well as outlining your complaint and any action you would like us to take, it would be useful 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 be helpful if you could write 'complaint' at the top of your letter. Send copies of any relevant documents, but hold on to original documents.

What happens when you receive my complaint?

On receipt of your complaint, whether verbal or written, your concerns will be recorded on our internal complaints management system and will be reviewed by a senior member of staff. We will always try to give you an answer immediately and, by providing your telephone number on any written complaints that you send to us, we may be able to resolve your query on the same day.

What 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 Baillie Gifford will make every effort to resolve your complaint as quickly as possible and will keep you fully informed throughout our investigation.

The process

If your complaint can be resolved within 3 business days after the date of receipt of your complaint we will send you a Summary Resolution Communication (SRC), detailing the fact you have made a complaint and why we consider it to be resolved. In the SRC we will also detail how you can refer your complaint to the Financial Ombudsman Service if you are dissatisfied with the resolution of the complaint.

If your complaint cannot be resolved within 3 business days after the date of receipt of your complaint, we will send you our acknowledgement, if we cannot send you a final response at that time, we will write to you again within 4 weeks of receiving your complaint. If this is not the final response, we will advise you of the reasons for the delay, inform you of when we will contact you again, as well as detailing your right to refer the complaint to the Financial Ombudsman Service (FOS) if you are unhappy with the delay. Further contact must then be made by us within the next 4 weeks.

If after 8 weeks of receiving your complaint, we are still unable to send you a final response, we will advise you of the reasons why we require extra time to respond and indicate a date by which we expect to be in a position to do so. You will also be reminded of your right to refer the complaint to FOS if you are unhappy with the delay.

Our final response letter will summarise the complaint and the outcome of our investigations. It will acknowledge any fault on our part and, where applicable, detail any offer being made to settle the complaint.

What if I am not happy with the final response?

If you are not happy with the final response, please contact us again. If, however, we cannot resolve the complaint to your satisfaction, you have the right to refer your complaint to FOS. A leaflet, setting out the service offered by FOS, will be supplied to you with our final response letter. If we do not hear from you within 8 weeks of issuing the final response letter, we will consider the complaint to be resolved. If, however, we do receive further correspondence we will continue to try and resolve your complaint. The contact details for FOS are detailed below;

The Financial Ombudsman Service Exchange Tower
London E14 9SR

www.financial-ombudsman.org.uk

Further information

We hope that this information is helpful and you should note that the progress of your complaint will be closely monitored by senior members of staff until it is resolved. Our Compliance Officer also reviews and monitors all complaints.

If you have any questions about these procedures, or require any further information, contact the Client Relations Team on **0800 917 2113** or **+44 (0)131 275 3499** if calling from overseas.

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Your call may be recorded for training or monitoring purposes.

Baillie Gifford™