

## Nedgroup Investments International Complaints Procedure

Nedgroup Investments International is:

**Nedgroup Investments (IOM) Limited** - licensed by the Isle of Man Financial Services Authority to provide collective investment scheme services; and

**Nedgroup Investments (UK) Limited** - authorised and regulated in the UK by the Financial Conduct Authority.

### Introduction

Nedgroup Investments International takes all complaints it receives seriously and established procedures are in place to ensure that we adhere to all requirements upon receipt of such a complaint.

Nedgroup Investments defines a complaint as an expression of dissatisfaction relating to a breakdown in service standards, confidentially or otherwise. A complaint is taken as an opportunity to improve our services and remedy shortfalls. This also covers the dissatisfaction of a service or activity relating to the business offered by Nedgroup Investments International.

### How to make a complaint

If you wish to make a complaint, you should in the first instance do so either orally or in written format. Please direct complaints to any of the following:

**By e-mail:** [helpdesk@nedgroupinvestments.com](mailto:helpdesk@nedgroupinvestments.com)

**By telephone:**

**Toll-free from South Africa only:** 0800 999 160

**Outside of South Africa:** +44 (0)1624 645150

**Postal address:**

Nedgroup Investments  
First Floor, St Mary's Court  
20 Hill Street  
Douglas  
Isle of Man  
IM1 1EU  
British Isles

If you feel your complaint is not resolved satisfactorily by us, you should be aware of your right to subsequently refer your complaint to the **Isle of Man Financial Services Ombudsman Scheme**, contact details are as follows:

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#### **Nedgroup Investments (IOM) Limited**

First Floor St Mary's Court 20 Hill Street Douglas Isle of Man IM1 1EU British Isles

Registered in the Isle of Man No 57917C VAT Registration No 301 3323 70  
Licensed by the Isle of Man Financial Services Authority

[www.nedgroupinvestments.com](http://www.nedgroupinvestments.com)

**Postal address:**

The Financial Services Ombudsman Scheme for the Isle of Man  
Thie Slieau Whallian  
Foxdale Road  
St John's  
Isle of Man  
IM4 3AS  
British Isles

**Telephone no:** +44 (0) 1624 686500

**Email:** [ombudsman@iomoft.gov.im](mailto:ombudsman@iomoft.gov.im)

Where a complaint is in relation to **Nedgroup Investment MultiFunds Plc** or **Nedgroup Investments Funds Plc** and you are not satisfied with the outcome of investigation by Nedgroup Investments International you have the right to refer the matter to the Irish Financial Services and Pensions Ombudsman – details of which can be found here - <https://www.fsps.ie/>.

You may also wish to contact the Funds' Regulator the Central Bank of Ireland.

<https://www.centralbank.ie/contact-us/make-a-complaint/complaints-against-a-financial-service-provider>

**Swiss clients**

For Swiss client specific attention is drawn to the following:

Art. 79 FinSA requires us to inform you about the option of conciliation proceedings via the Ombudsman:

- a. when entering into a business relationship within the scope of the obligation to provide information pursuant to Art. 8(1)c FinSA;
- b. in the event of a rejection of a legal claim asserted by the customer; and
- c. at any time upon request.

**Contact details** of the Swiss Ombudsman are as follows:

Verein Ombudsstelle Finanzdienstleister (OFD)  
Bleicherweg 10  
CH-8002 Zürich  
[www.ofdl.ch](http://www.ofdl.ch)

**How does Nedgroup Investments International assess a complaint?**

Upon receipt of a complaint, the nature and the seriousness of the complaint is assessed on an individual basis.





## How is a complaint processed?

1. An acknowledgement is normally forwarded to the Complainant within two and no more than seven working days, confirming receipt of the complaint and stating that a full response will be issued as soon as possible. The acknowledgement will include a summary of the complaint, a copy of this procedure, which includes details of the Financial Ombudsman Services, and, where appropriate, a request to the Complainant for further information in writing with supporting evidence.
2. The complaint will be handled by an individual who is not conflicted and has appropriate authority to deal with the complaint.
3. The Complainant must be kept informed as to the progress of the response if the complaint is still being investigated.
4. After an overall limit of 8 weeks from receipt of the complaint, the Complainant must receive either: -
  - (a) A final response in writing, informing the complainant of the outcome of any investigation and the action taken. This will include their right to refer their complaint to the Isle of Man Financial Services Ombudsman Scheme, with details of the Scheme; or
  - (b) A response explaining the reasons why Nedgroup Investments International is still not in a position to issue a final response, when a final response could be expected and informing the complainant of their right to refer their complaint to the Isle of Man Financial Services Ombudsman Scheme, with details of the Scheme. In this scenario, Nedgroup Investments International will notify the Isle of Man Financial Services Authority of the reason for the complaint not being resolved.
5. If the complaint is not resolved within the allotted timescale to the satisfaction of the Complainant, the Complainant will have the right to request a review by the Senior Adjudicator of the Adjudicator's provisional determination. The outcome of any such review will be binding on both parties. The only right of appeal against the final determination being to the High Court on a point of law. Currently no such right to review any Adjudicator's determination exists.
6. Where applicable any error will be rectified and the Complainant advised of the outcome.
7. Where the Complainant has received a full reply and has not responded within one month of its despatch, the Complaint can be treated as being resolved.

Ends

