

CleverIM.

Clever Investment Management
Limited - Complaints Handling
Procedures.

April 2025

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Complaints Handling Procedures.

This document is designed to provide information on how we will act if we receive a complaint. It describes the procedures that we will undertake, which are in accordance with the requirements of our Regulator, the Financial Conduct Authority (FCA). Our FCA number is 1012442.

Making a complaint

All complaints should be referred in the first instance to the Compliance Officer:

You can write to: Compliance Officer, Graeme Pollok, Watergate House, 85 Watergate Street, Chester, CH1 2LF
Telephone: 07785 295015
Email: graeme.pollok@cleveradviser.com

What we will do to resolve a complaint

In some cases, we will be able to resolve your complaint within three working days of receiving it and we will issue you a written summary of the resolution confirming that your complaint has been resolved. If we are unable to resolve your complaint within three working days, a written acknowledgement will be issued promptly and no later than five working days after receiving your complaint.

The written acknowledgement of the complaint will include a final response if the investigation is complete. If we cannot reach a decision in time to include it in your acknowledgement letter, it will include a statement that a written report will follow once the investigation is complete.

In the case of an oral complaint, a statement of the firm's understanding of the complaint will be included in your acknowledgement letter.

Every effort will be made to resolve complaints within the first eight weeks of receiving them. If the investigation is not complete within eight weeks, a further letter will be sent explaining that the firm is still not able to provide a final response. The letter will include an explanation of why the firm is not able to make a final response and an indication of when it expects to be able to provide one.

If the investigation is not complete within eight weeks of receipt, you may be able to refer the complaint to the Financial Ombudsman Service (FOS).

If you're not happy with our final decision

Once the investigation is complete, a final response letter will be sent that will provide a summary of our investigation and our decision in the matter. If at this stage you are dissatisfied with the outcome of our investigation, you may have the right to refer the matter to the Financial Ombudsman Service (FOS) but must do so within six months of the date of the final response.

Details of this service can be found at <http://www.financial-ombudsman.org.uk/>.

You can write to: The Financial Ombudsman Service, Exchange Tower, London E14 9SR
Telephone: 0800 023 4567 or 0300 123 9123
Email: complaint.info@financial-ombudsman.org.uk

In the case of a MiFID complaint, you may also be able to take civil action.