

**NEWTON**

Investment  
Management

 BNY MELLON | INVESTMENT MANAGEMENT

# COMPLAINTS HANDLING PROCEDURE

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Newton<sup>1</sup> takes complaints seriously and endeavours to handle all complaints fairly, effectively, and promptly. Newton will ensure complaints from clients and prospects are investigated by an employee of sufficient competence (which will generally be overseen by a manager to maintain impartiality). The person responsible for handling a complaint should have the authority to settle complaints (including the offering of redress where appropriate) or to have ready access to someone who has the necessary authority. Where possible Newton will seek to resolve any complaint by the close of the next business day.

However, if further internal investigations are required, Newton will:

- Send a prompt written acknowledgement providing reassurance that Newton has received the complaint and is dealing with it; and
- Ensure that the complainant is kept informed of the progress of any measures being undertaken to resolve the complaint.

The acknowledgement should include:

- an explanation of why a different person is responding if it is not the person the complaint was addressed to;
- the name and job title of the individual handling the complaint;
- a timescale for when Newton will correspond further; and
- a copy of Newton's complaints handling procedure (this document).

Newton aims to respond to a complaint promptly and in any event to resolve it within eight weeks. Newton's final response letter should do one of the following:

- accept the complaint and, where appropriate, offer redress or remedial action; or
- offer redress or remedial action without accepting the complaint; or
- reject the complaint and give reasons for doing so; and
- if applicable, include a copy of the UK Financial Ombudsman Service's explanatory leaflet.

In the unlikely event that investigations require longer than eight weeks to complete, Newton will write to a complainant and explain why it is not yet in a position to resolve the complaint and indicate when it expects to make further contact.

Should you wish to make a complaint to Newton, please contact us using our Complaints Handling e-mail address; [complaints@newtonim.com](mailto:complaints@newtonim.com)

Should a complainant remain dissatisfied after our final response, or after eight weeks, the complainant may be eligible to refer the complaint to the UK Financial Ombudsman Service. The UK Financial Ombudsman Service can be contacted at;

## **The Financial Ombudsman Service**

**Exchange Tower**

**London**

**E14 9SR**

**Telephone:** (+ 44) 0800 023 4567 (enquiries and consumer helpline)

**Website:** [www.financial-ombudsman.org.uk](http://www.financial-ombudsman.org.uk)

**Email:** [complaint.info@financial-ombudsman.org.uk](mailto:complaint.info@financial-ombudsman.org.uk)

**Fax:** (+ 44) 020 7964 1001

<sup>1</sup> 'Newton' and/or 'Newton Investment Management' is a corporate brand which refers to the following group of affiliated companies: Newton Investment Management Limited (NIM) and Newton Investment Management North America LLC (NIMNA). NIMNA was established in 2021 and is comprised of the equity and multi-asset teams from an affiliate, Mellon Investments Corporation.