



## **COMPLAINTS PROCEDURE**

**PLEASE NOTE, THIS DOCUMENT COVERS THE COMPLAINTS PROCEDURE FOR CLIENTS OF KIN CAPITAL PARTNERS LLP & ENTERPRISE INVESTMENT PARTNERS LLP, TOGETHER KNOWN AS 'KIN CAPITAL'.**

### **Kin Capital Partners LLP ("KCP")**

#### **How to complain and how KCP will respond**

Kin Capital Partners LLP (FRN: 656789) is authorised and regulated by the Financial Conduct Authority (FCA) in the United Kingdom to provide alternative investment fund manager and custody services.

KCP is required to have in place effective and transparent procedures for the reasonable and prompt handling of complaints in relation to this service.

This document sets out the complaints handling procedures that KCP will follow in the event that you make a complaint.

#### **Does this policy apply to you?**

The services KCP provides are available to persons who are consumers, as well as individuals, businesses and organisations that may not be consumers, and KCP must therefore establish whether you are an 'eligible complainant' or not.

The definition of a consumer for regulatory purposes and refers to any natural person acting outside of his trade, business or profession.

It is important to note that KCP will treat all complainants equally, however only eligible complainants will be able to refer complaints to the Financial Ombudsman Service (FOS) if you are not satisfied with the way that KCP have handled your complaint.

#### **How can you make a complaint?**

You can make a complaint by any reasonable means – for example, letter, fax, email, telephone or in person. It is free of charge to complain.

To make a complaint, please contact:

Name: Richard Hoskins  
Address: East Side, Kings Cross Station, Kings Cross, London N1C 4AX  
Email Address: rhoskins@kincapital.co.uk  
Phone Number: 0203 743 3100

## **What will happen once we have received your complaint?**

Your complaint will be reviewed by Joseph Lazaris, the Compliance Officer of KCP, as soon as possible. In the event that he is involved in the subject matter of the complaint, your complaint will be referred to another member of KCP's senior management team.

KCP will promptly acknowledge your complaint in writing. In this acknowledgement, KCP will provide the name and title of the person that is handling your complaint. KCP will give this individual the authority necessary to investigate and settle the complaint. KCP will also include a copy of this policy at this time.

### **Investigating and resolving your complaint**

KCP will investigate your complaint competently, diligently and impartially with a view to deciding whether the complaint should be upheld and whether any remedial action and / or redress may be appropriate. KCP will set out our conclusions in a final response to you.

If KCP decides that redress is appropriate, KCP will aim to provide you with fair compensation for any acts or omissions for which KCP are responsible. If you accept our offer, KCP will promptly provide the compensation to you.

### **Our timetable for responding to you**

Once KCP has acknowledged your complaint KCP will keep you informed of our progress. If KCP can quickly resolve your complaint KCP will send you a Summary Resolution Communication which will:

- Acknowledge your complaint and confirm that KCP now considers it to be resolved;
- Explain that you may still be able to refer your complaint to the FOS if you subsequently disagree with our decision, and the timescales you have for doing this; and
- Provide information about how to contact the FOS.

If KCP is not able to resolve your complaint quickly KCP will, within eight weeks of receiving your complaint, send you either a final response or a written response that explains why KCP *is* not able to make a final response to you and when KCP expects to provide one.

Our response will also:

- inform you that, if you remain dissatisfied, you may refer the complaint to the FOS; and
- enclose a copy of, or an electronic link to, the FOS standard explanatory leaflet.

### **Financial Ombudsman Service**

If you are an eligible complainant, you can refer a complaint to the FOS if you are not satisfied with the outcome of your complaint. Your rights are set out in the FOS's leaflet "Your Complaint and the Ombudsman" which KCP will provide to you as part of the Complaints process. Please remember that if you wish to refer a complaint to the FOS, you must do so within six months of the date of our final response.

Alternatively, if you are based outside of the UK you can register your complaint on the Online Dispute Resolution (ODR) Platform using the link <http://ec.europa.eu/consumers/odr/>.

## **Closing complaints**

KCP will regard your complaint as closed in the following circumstances:

- once KCP has sent you a final response;
- where you have told the firm in writing that you accept an earlier response KCP have sent to you; or
- if you refer your complaint to the FOS, when the FOS informs the firm that the complaint has been closed.

## **Questions**

If you have any questions about our complaints process, please contact Richard Hoskins via any of the contact methods listed above.

## **Enterprise Investment Partners LLP (“EIP”)**

### **How to complain and how EIP will respond**

Enterprise Investment Partners LLP (FRN: 604439) is authorised and regulated by the Financial Conduct Authority (FCA) in the United Kingdom to provide alternative investment fund manager services.

EIP is required to have in place effective and transparent procedures for the reasonable and prompt handling of complaints in relation to this service.

This document sets out the complaints handling procedures that EIP will follow in the event that you make a complaint.

### **Does this policy apply to you?**

The services EIP provides are available to persons who are consumers, as well as individuals, businesses and organisations that may not be consumers, and EIP must therefore establish whether you are an ‘eligible complainant’ or not.

The definition of a consumer for regulatory purposes and refers to any natural person acting outside of his trade, business or profession.

It is important to note that EIP will treat all complainants equally, however only eligible complainants will be able to refer complaints to the Financial Ombudsman Service (FOS) if you are not satisfied with the way that EIP have handled your complaint.

### **How can you make a complaint?**

You can make a complaint by any reasonable means – for example, letter, fax, email, telephone or in person. It is free of charge to complain.

To make a complaint, please contact:

Name: Joseph Lazaris  
Address: East Side, Kings Cross Station, Kings Cross, London N1C 4AX  
Email Address: [jlazaris@enterprise-ic.com](mailto:jlazaris@enterprise-ic.com)  
Phone Number: 0207 843 0473

### **What will happen once we have received your complaint?**

Your complaint will be reviewed by Joseph Lazaris, the Compliance Officer of *EIP*, as soon as possible. In the event that he is involved in the subject matter of the complaint, your complaint will be referred to another member of EIP's senior management team.

EIP will promptly acknowledge your complaint in writing. In this acknowledgement, EIP will provide the name and title of the person that is handling your complaint. EIP will give this individual the authority necessary to investigate and settle the complaint. EIP will also include a copy of this policy at this time.

### **Investigating and resolving your complaint**

EIP will investigate your complaint competently, diligently and impartially with a view to deciding whether the complaint should be upheld and whether any remedial action and / or redress may be appropriate. EIP will set out our conclusions in a final response to you.

If EIP decides that redress is appropriate, EIP will aim to provide you with fair compensation for any acts or omissions for which EIP are responsible. If you accept our offer, EIP will promptly provide the compensation to you.

### **Our timetable for responding to you**

Once EIP has acknowledged your complaint EIP will keep you informed of our progress. If EIP can quickly resolve your complaint EIP will send you a Summary Resolution Communication which will:

- Acknowledge your complaint and confirm that EIP now considers it to be resolved;
- Explain that you may still be able to refer your complaint to the FOS if you subsequently disagree with our decision, and the timescales you have for doing this; and
- Provide information about how to contact the FOS.

If EIP is not able to resolve your complaint quickly EIP will, within eight weeks of receiving your complaint, send you either a final response or a written response that explains why EIP is not able to make a final response to you and when EIP expects to provide one.

Our response will also:

- inform you that, if you remain dissatisfied, you may refer the complaint to the FOS; and
- enclose a copy of, or an electronic link to, the FOS standard explanatory leaflet.

### **Financial Ombudsman Service**

If you are an eligible complainant, you can refer a complaint to the FOS if you are not satisfied with the outcome of your complaint. Your rights are set out in the FOS's leaflet "Your Complaint and the Ombudsman" which EIP will provide to you as part of the Complaints process. Please remember that if you wish to refer a complaint to the FOS, you must do so within six months of the date of our final response.

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### **Questions**

If you have any questions about our complaints process, please contact Joseph Lazaris via any of the contact methods listed above.