

# Complaints Procedure

**DTZ Investors**

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## Introduction

This procedure applies to all DTZ Investors staff who receives a complaint from a client or a representative of a client.

This procedure is designed to comply with the FCA and RICS rules in relation to complaints. Given the nature of our regulated business it is not likely DTZ will have any “eligible complainants”.

DTZ Investors will apply the principle of “treating clients fairly” to all our business interactions and this forms the cornerstone of our complaint handling process.

The level and management of complaints is a barometer of the service quality we are delivering to our clients so it is critical complaints are handled professionally and efficiently and where DTZ Investors has disadvantaged a client immediate corrective action is taken.

## Definition of a Complaint

### Expression of Dissatisfaction

A complaint is defined as any expression of dissatisfaction about DTZ Investors or a person providing a service on behalf of DTZ Investors or the service provided. The complainant may not necessarily use the expression "complaint" to express their dissatisfaction.

The dissatisfaction may also relate to the work of sub-contractors, specialists or advisers that are used by DTZ Investors to provide the service.

### Definition

Any expression of dissatisfaction in writing (including letter, fax and email) or verbally will be regarded as a complaint.

A formal or informal complaint which:

- a) Could lead to regulatory sanction against DTZ Investors or an employee;
- b) Could lead to a claim under the company's Professional Indemnity Insurance, or
- c) Requires a fee adjustment in settlement with the client or
- d) The complainant gives some kind of warning or ultimatum requiring DTZ Investors to take action which, if not done, would result in legal action or
- e) The dispute is likely to go to mediation or arbitration

### Who Can Make a Complaint

A complaint can be made by a client, supplier or a "third party to whom an established duty of care" is owed. A complaint may be made by a representative acting on behalf of the client i.e. a lawyer.

The FCA consider the following as eligible complainants:

- (a) a private individual;
- (b) a business, which has a group annual turnover of less than £1million at the time the complainant refers the complaint to the firm; or
- (c) a charity which has an annual income of less than £1million at the time the complainant refers the complaint to the firm; or
- (d) a trustee of a trust which has a net asset value of less than £1million at the time the complainant refers the complaint to the firm."

## Handling a Complaint

### Deal with Complaint in a Courteous Manner

Oral complaints shall be dealt with by the person receiving the complaint in a professional and courteous manner to resolve the matter e.g. acknowledging untimeliness, apologising for any lapses, etc and before it becomes a written complaint.

### Advise Complainant about DTZ Complaints Procedure

If the complaint is not capable of immediate remedy then the complainant should be notified of the DTZ complaints procedure.

### Record Details on the Complaints Register

A file note of all oral complaints and communications with the complainant should be kept on the job file and recorded on the Complaints Register/Database. Appropriate notes of meetings, letters, telephone conversations, actions should be retained.

The FCA rules allow that it is not necessary to make a record or report any FSA complaint provided that it is resolved by the end of the business day following receipt, i.e. if a complaint is received on a Monday and is resolved by close of business on the Tuesday the complaint will not have to be officially recorded or reported.

### Advise Compliance of any Significant Complaint

At any stage where the Director responsible considers that the complaint is a significant complaint, he/she should complete the relevant details on the Complaints Register so that insurers and regulators can be notified as appropriate.

**Apart from sending an acknowledgement no substantive response shall be sent to the client until advice has been received from our Legal team.**

### Director to Acknowledge Complaint in Writing

Subject to any advice received from our Legal team in relation to insurance or regulatory complaints the Director shall acknowledge the receipt of the complaint in writing within 2 working days. A substantive response to the complaint should be sent within 20 days of receipt.

### Director to take Appropriate Corrective Action

The Director responsible shall ensure that appropriate corrective action is taken to resolve the immediate concern of the complainant. The Director shall consider whether there are any underlying causes and identify and take appropriate corrective action to prevent further similar complaints.

### If the Complainant is Still Dissatisfied, Notify Compliance

If the complainant remains dissatisfied the Director shall notify Compliance who will review the complaint and consider likely resolutions.

It is unlikely DTZ Investors would ever receive any complaints from FCA “eligible complainants” but in the event such a complaint is received it will be handled by Compliance.

