



Oakcean
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OAKCEAN CAPITAL LIMITED

Firm reference number: 985840

COMPLAINTS POLICY



A. Our Commitment to You

Your experience of the services we provide is extremely important to us. Inevitably, however, there may be occasions when we fall short of the standards you expect. In such circumstances, we are committed to dealing with your concerns fairly and effectively. Our aim is to reach a mutually satisfactory conclusion as quickly as possible.

To assist, we have established procedures for investigating any complaint you may have with the intention of swiftly resolving any matter while at the same time keeping you fully informed of the steps we are taking.

B. Who We Are

Oakcean Capital Limited is a London based investment management firm authorised and regulated by the FCA since 9th of May 2023. The Firm's FCA reference number is 985840.

As such we are required to have in place effective and transparent procedures for the reasonable and prompt handling of complaints in relation to the services we provide.

This document sets out how we handle any complaints we receive and complies with our regulatory requirements.

C. How to Make a Complaint

We would encourage you to first to contact us by emailing our Compliance Officer, Anthony Herbert, at compliance@oakceancapital.com detailing your complaint or issue as best you can.

If you'd prefer to write to us then please send your correspondence to:

Anthony Herbert
60 Grosvenor Street
London, Westminster
W1K 3HZ

If you'd like to talk to us on the phone then you can reach us on +44 7385238883.

D. What Happens Next

Your complaint will be logged in our system and a designated Oakcean Capital Limited team member will be allocated to handling your matter.

We would like to assure you that the team member handling your complaint will be an experienced member of staff and, where appropriate, someone who was not directly involved in the matter about which you are raising a complaint. They will have the authority to settle your complaint or will have access to someone who has such authority.



E. Steps Towards Resolving Your Complaint

Step 1 – the designated team member will acknowledge receipt of your complaint, either by post or by email, within 3 business days and confirm who you should contact for further information and how you should contact them.

Step 2 – we will carry out a thorough investigation into your complaint at the conclusion of which we will prepare an incident report that will incorporate a complete breakdown of the matter and any conclusions that we have reached. You will receive a copy of this report.

Step 3 - we will invite you to provide your comments particularly if we have omitted something that you consider of relevance to the matter.

Step 4 – Oakcean Capital Limited will provide you with a final response confirming our position on your complaint and setting out our conclusions. We, of course, anticipate being able to resolve every complaint satisfactorily but we will also provide contact details for the Financial Ombudsman Service to enable you to escalate the matter if you are, in any way, dissatisfied (for further details, please see below).

F. Timings

We aim to resolve your complaint and issue our final conclusions within eight weeks of receiving your complaint.

However, in exceptional circumstances, if we cannot give you a final response within that time period, we will contact you to let you know why not and to confirm when you can expect to receive a substantive response from us.

G. What Happens if You Are Not Satisfied with Our Response

Although you can contact the Financial Ombudsman Service (FOS) at any time for support or refer to their helpful guidance in their website they do require you to contact Oakcean Capital Limited in the first instance. If you remain dissatisfied with how we are handling your complaint or our final response, you may be eligible to refer your complaint to FOS.

Although this service is free of charge, there are a number of conditions you should be aware of: -

1. You must contact them within six months of the date of our final response. If you do not, the FOS will not have our permission to consider your complaint and will only be able to do so in exceptional circumstances.



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2. The FOS only handles complaints raised by private individuals, micro-enterprises (businesses employing fewer than 10 persons whose annual turnover and/or annual balance sheet does not exceed EUR 2 million) and charities (whose annual income is less than £1 million).
3. The FOS will only consider complaints about regulated products and services.

H. **Complaint Records**

Our regulator, the FCA, obliges us to keep a record of each complaint received and the measures taken for its resolution. We retain these records for a minimum of three years from the date the complaint was received.

I. **Contact Details for the Financial Ombudsman Service**

Financial Ombudsman Service
Exchange Tower
Harbour Exchange Square
London
E14 9SR
www.financial-ombudsman.org.uk

Telephone: 0800 023 4567