



## **Putnam Investments Limited Complaints Handling Summary**

### **Policy Summary**

Putnam Investment Limited (“PIL”) is authorised and regulated by the Financial Conduct Authority (“FCA”). PIL, like other regulated firms, is required to have in place, and operate, an effective and clear complaints handling procedure. PIL will provide this complaints handling summary to clients or potential clients (collectively “clients”), on request or when acknowledging a complaint.

### **Purpose**

The purpose of this document is to summarize PIL’s procedure for handling complaints from clients. We recognise that, from time to time, clients may have cause to complain about the service we provide to them. If we receive a complaint from a client, we want to ensure that it is properly investigated and that whenever possible, the complaint is resolved and a response is provided to you at the earliest opportunity.

### **How to make a Complaint**

If you have a complaint, we want to hear from you. Any complaint or issue of dissatisfaction can be submitted, free of charge, to the PIL Compliance Manager. However, if you would prefer, you can also submit a complaint through your existing contact(s) at PIL. It is preferable, for all parties involved, that you submit your complaint to us in writing, and the easiest way to do that is by email. However, we will treat all complaints, regardless of the format in which they are communicated to us, with equal importance. When you submit your complaint, you should include as much information as possible to allow PIL to identify you, for example full name, address, product/ fund(s) invested in, and any client account numbers. You should also let us know how we can contact you. Here is how you can contact us:

### **PIL Complaint Handling Contact Details**

**Email:** [pil\\_complaints@putnam.com](mailto:pil_complaints@putnam.com)  
**Phone:** +44 (0) 20 7907 8204  
**In writing to:** Putnam Investments Limited  
16 St. James’s Street  
London, SW1A 1ER, United Kingdom  
Attn: PIL Compliance Manager

## **How your complaint will be handled**

Upon receipt of your communication we will undertake an assessment as to whether it is a complaint that should be handled in line with our internal complaints policy. If we determine that it is, we will try and resolve it as quickly as possible. If we can resolve your complaint within three business days following the day on which we receive your complaint, we will provide you with a written summary resolution and inform you that you may be able to refer the complaint to the Financial Ombudsman Service (“FOS” or “Ombudsman”). If we are unable to resolve your complaint within three business days following the day on which we receive your complaint we will:

- Provide prompt written acknowledgement of your complaint and communicate progress in reviewing the complaint periodically;
- Review the complaint impartially, competently and diligently and ensure that we seek additional information where necessary;
- Ensure our assessment of the complaint is made promptly, fairly and consistently;
- Communicate our findings and inform you that we consider the complaint to have been resolved;
- Comply with the terms of any offer of remedial action or redress that is accepted by you; and
- Inform you that if you are not satisfied with the resolution of the complaint you may refer your complaint to the FOS.

## **The Financial Ombudsman Service**

If you are not satisfied with the outcome of our investigation, you may have the right to refer your complaint to the FOS. The FOS provides a free, independent and unbiased assessment of complaints referred to it.

The Ombudsman can only consider a case when PIL’s own complaint handling procedures have been exhausted and provided you refer your case within six months of PIL’s final response, although we reserve the right to waive this time limit.

The Ombudsman can be contacted in the following ways:

Postal Address	The Financial Ombudsman Service Exchange Tower London E14 9SR
Email	<a href="mailto:complaint.info@financial-ombudsman.org.uk">complaint.info@financial-ombudsman.org.uk</a>
Website	<a href="http://www.financial-ombudsman.org.uk">www.financial-ombudsman.org.uk</a>
Telephone	0800 023 4 567 [UK] +44 20 7964 0500 [Outside UK]
Fax	0 20 7964 1001 [UK] +44 20 7964 1001 [Outside UK]

The FOS helplines are open from 8am to 8pm Monday to Friday and 9am to 1pm on Saturday.