



**SQUARE MILE FINANCIAL SERVICES S.R.O.**  
**COMPLAINTS HANDLING POLICY**

**1. OBJECTIVE**

- 1.1 Square Mile Financial Services S.R.O. (Square Mile) seeks to maintain its reputation as a firm delivering high quality professional services. Square Mile is also committed to maintaining its responsiveness to the needs and concerns of our clients.
- 1.2 This Policy is designed to provide guidance on the manner in which Square Mile receives and handles complaints made against the firm, its business partners and its employees. The objective of the Policy is to assist the firm, its business partners and employees in resolving complaints in an efficient, effective and professional manner.

**2. WHAT IS A COMPLAINT?**

- 2.1 The Policy is intended to address complaints made to Square Mile. A complaint under this Policy is defined as follows:  
*“An expression of dissatisfaction made to an organisation, related to its products, or the complaints-handling process itself, where a response or resolution is explicitly or implicitly expected.”*
- 2.2 Any person or organisation (the complainant) who is dissatisfied with a product or service provided by the firm, for any reason, may contact Square Mile to complain. A complaint may be oral or written.
- 2.3 At times, complaints can be by way of negative feedback, which may not require a resolution or formal follow-up. While this type of feedback is valuable, the Policy does not apply to feedback of this nature.

**3. GUIDING PRINCIPLES**

Our complaints committee, business partners and employees should consider the following guiding principles for the resolution of all complaints:

<b>Principle</b>	<b>The Square Mile approach</b>
Accessibility	Our Complaints Handling Policy is readily accessible to the complaints handling team, all business partners, employees and clients. The Policy is easy to understand and includes details on making and resolving complaints.
Responsiveness	Receipt of each complaint is acknowledged to the complainant immediately. Complaints will be handled in an efficient and effective manner. Complainants will be treated courteously and kept informed of the progress of their complaint throughout the complaint-handling process.
Objectivity	Each complaint is addressed in an equitable, objective and unbiased manner through the complaints-handling process.
Free of charge	There will be no charge to the complainant for making a complaint.
Confidentiality	Personally identifiable information concerning the complainant is actively protected from disclosure unless the complainant expressly

	consents to its disclosure.
Client-focused approach	All business partners and employees of Square Mile, including the members of the Board, the Responsible Person before the CNB and the executive team, are committed to efficient and fair resolution of complaints. We actively solicit feedback from our clients on a regular basis and acknowledge a client's right to complain.
Accountability	All partners and employees accept responsibility for effective complaints handling. The Responsible Person will ensure that, where appropriate, issues raised in the complaints handling process are reflected in performance evaluations of the persons concerned.
Continual Improvement	Our complaints handling process will be reviewed periodically, and at least annually, to aim to enhance its efficient delivery of effective outcomes.

#### 4. HANDLING A COMPLAINT

##### 4.1 How may a complaint be made?

Where a complaint is about a particular engagement, product, business partner or employee and you are familiar with the engagement team working on your matter, you may wish to address your complaint to an appropriate member of that engagement team, orally, by letter, or by email.

Where possible, complaints should be made in writing so that the details of the complaint are clear and complete.

If you are not sure to whom to refer your complaint, or feel it is inappropriate to address your complaint to a member of the engagement team, please write to:

Square Mile Financial Services s.r.o., Michalska 11, Prague 1, 110 00, Czech Republic

##### 4.2 What information is required when making a complaint?

When making a complaint, please provide the following information:

- (a) Your name, position and contact details
- (b) Your relationship with Square Mile (i.e. the nature of your engagement with the firm, for example, that you are a client)
- (c) Your contact person within Square Mile
- (d) The nature of the complaint (including when the conduct giving rise to the complaint occurred)
- (e) Details of the Square Mile personnel involved (if applicable)
- (f) Copies of any documentation supporting the complaint.

##### 4.3 Assistance with making a complaint

If you need assistance in formulating or lodging a complaint, please contact a member of the engagement team working on your matter. If this is not appropriate, please contact the Complaints Officer (contact details as provided above).

Where the precise matters to be resolved are unclear, we will send to you a summary of the specific issues which the complaints handling team will be resolving.

#### 4.4 **Acknowledgement of complaint**

We are committed to acknowledging all complaints immediately upon receipt. Once a complaint has been received, we will undertake an initial review of the complaint.

We will endeavour to resolve complaints within four weeks of receiving the complaint, but this will not be possible on all occasions. Where our review exceeds four weeks, we will contact you to inform you of the reasons for the delay, and indicate to you when we expect to be in a position to complete our review of the complaint.

Notwithstanding that, we accept no obligation whatsoever to respond to vexatious complaints (complaints which are unnecessary, intended to cause harm to Square Mile, or are otherwise manifestly inappropriate or unsupported).

#### 4.5 **Your rights during the complaints process**

You have the right to enquire as to the status of your complaint by contacting the person who has been identified to you as handling your complaint.

#### 4.6 **Response to a complaint**

Once we have reviewed your complaint, we will provide you with a written response. If you are dissatisfied with Square Mile's response, you have the right to ask for reconsideration of the response by the Complaints Officer.

Such a request should be made in writing and forwarded by post or email to the address provided above.

If you are still not satisfied with the outcome of your complaint, you may refer the matter to the financial arbiter – <http://www.finarbitr.cz>.