

PIMCO Complaints Procedure

PIMCO is committed to providing a high level of service to its clients and their respective advisers. Nonetheless, there may be occasions where clients feel that they have an issue that they would like to be addressed in relation to such services. PIMCO takes such concerns seriously and endeavours to promptly respond to and resolve complaints.

PIMCO has established, implemented and maintains complaints management policies and procedures aimed to facilitate the settlement of disputes quickly and fairly and to fulfil PIMCO's obligations as set by PIMCO's regulator, the Financial Conduct Authority. Please see below for a summary of PIMCO's Complaints Procedure.

1. What should you do if you wish to make a complaint?

If you have a complaint, you may make a notification to PIMCO either in writing or verbally (by phone or in person). Contact details are as follows:

PIMCO Europe Ltd.

11 Baker Street
London W1U 3AH
United Kingdom

Telephone: +44 20 7872 1300

Email: ComplaintManagementEMEA@pimco.com

2. How will my complaint be handled?

Your complaint will be dealt with by PIMCO's complaints team in a prompt and fair manner.

3. What happens if PIMCO is able to resolve my complaint within three (3) working days?

PIMCO shall promptly provide a written response stating the resolution to your complaint and such response will include information on your rights.

4. What happens if PIMCO is unable to resolve my complaint within three (3) working days?

PIMCO will promptly issue to you an initial written acknowledgement stating receipt of the complaint.

Within eight (8) weeks of receiving your complaint, PIMCO will endeavour to provide a full and final response.

5. What if my complaint is complex?

PIMCO may not be able to issue a final response to certain complex complaints within the eight (8) week period following receipt of the relevant complaint. In such cases, PIMCO will provide a holding response within this eight (8) week period explaining why PIMCO is unable to resolve your complaint at this time and specifying the timeframe for the next point of contact.

6. What if I feel that my complaint has not been resolved satisfactorily?

If you are of the view that your complaint has not been resolved satisfactorily, you may ask PIMCO to reconsider the response. Note that you may (if you are an eligible complainant) have the right to refer your complaint to the Financial Ombudsman Service or “FOS” and such referral must occur within six (6) months of the date of PIMCO’s written confirmation or to take civil action.

7. What is the FOS?

The FOS is a free and independent service set up by Parliament to resolve individual complaints between financial businesses and their customers when it is not possible to come to a mutual agreement. Only eligible complainants can have their complaints considered by the FOS. PIMCO will inform you of your rights in the written response that PIMCO sends to you.

You can find out more about the FOS on their website: <http://www.financial-ombudsman.org.uk/>.

8. What if I have questions about the complaints procedure?

Please contact us using the following details:
ComplaintManagementEMEA@pimco.com.