

# Complaints Procedure

## Dragon Investment Managers

**Main contact for complaints:**

Stephen Jones, Managing Director

**Address:**

Beecholme, Pwllcrochan Avenue, Colwyn bay,  
LL29 7BW

**Email:**

[stephenjones@DragonIM.com](mailto:stephenjones@DragonIM.com)

**Phone:**

01745 585540

We take care to maintain high standards of service. Where we become aware of client concerns or unease we give priority to resolving the matter as quickly as possible and that your concerns are handled fairly and within reasonable timescales.

Upon receipt of a complaint, we will do all we can to resolve your concerns within three business days and confirm this to you in writing. If we cannot do this, we will write to you, normally within five business days to acknowledge your complaint and to let you know when we expect to be able to issue a full response.

When acknowledging your complaint, especially in the case of an oral complaint, we will set out the nature of the complaint and may request further clarification if necessary. Your complaint will be investigated using our files together with reports from other parties if relevant. We may also write to you if further information is required. We will keep you informed of the progress of the complaint investigation.

After eight weeks, if a final response letter has not already been sent to you, you will receive:

- A final response letter detailing our conclusions and resolution to the complaint. This letter will also confirm that if you remain dissatisfied with our final response, you may refer your complaint to the Financial Ombudsman Service (FOS) within six months of the date of our final response letter, otherwise you would lose this referral right. A copy of the FOS leaflet '*your complaint and the Ombudsman*' will be enclosed, if not already supplied. You may also be able to take civil action.

**OR**



- A response that we are still not in a position to make a final response, giving the reasons for the further delay and indicating when we expect to be able to provide a final response. We'll also inform you that you may refer your complaint to the FOS if you are dissatisfied with the delay. A copy of the FOS leaflet '*your complaint and the Ombudsman*' will be enclosed, if not already supplied.

Please bear in mind that if your complaint involves information from third parties some delays could be beyond our control. We will, however pursue information on a regular basis.

In the event that we receive **a complaint that is not about us**, or our services, and assuming that we can identify the firm to whom the complaint should be addressed, we'll carry out the following action:

- We'll write to the firm concerned, explaining that we believe the complaint in question to be theirs, and suggesting that they contact you directly.
- We'll enclose a copy of your original complaint letter.
- We'll write to you, giving contact details of the relevant firm, and invite you to get in touch with them directly. We'll also provide you with a copy of the letter we send to the firm.
- We'll copy the new firm in on this letter

We shall deem the matter closed when our Final Decision Letter has been issued or where you have accepted our earlier response.

## **Policy Update**

This policy was reviewed in July 2025.