

# Regulatory & Complaints Information



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## Making a complaint

If you have experienced a problem, thank you for bringing your concerns to our attention. We will do our best to address any dissatisfaction that you have experienced in using the services of this firm. Our primary objective is to put things right.

## Our complaints policy

We are committed to providing a high-quality service to our clients. This includes a commitment to putting things right when they go wrong. This policy explains how we will deal with any complaint.

## Our complaints procedure

Our complaints partner is Warren Tilbury. You can contact him by post at 'at this office', or by e-mail at [wtilbury@pem.co.uk](mailto:wtilbury@pem.co.uk). It is helpful if you put your concerns into writing, but if you would prefer not to, or if you would find it difficult to do so, he can be contacted by phone at 01223 728222. If you have special needs which we should take into account due to language or disability, please let us know.

To explain to you how long our process might take we have included our target times for each stage of the process. Where, for any reason, it is not possible to observe any of these limits we will let you know and explain why.

Actions:

- Acknowledge the complaint in writing and send a copy of the complaints procedure
- Invite you to a meeting or to discuss the issues by telephone
- Confirm the outcome of the meeting or telephone conversation in writing
- Investigate the issues
- If a meeting/telephone discussion is not possible or required:
  - Investigate the issues and write to you with the outcome
- Review and close the complaint

Timescale:

- Within two working days
- Within two working days
- Within three working days of the meeting/telephone conversation
- Within 14 days of receiving the complaint
- Within 21 days
- Within 8 weeks of receiving the complaint

## Legal Ombudsman

If you do not agree with the outcome of our complaints process, or we fail to investigate it within 8 weeks, you can then complain to the Legal Ombudsman. Complaints to the Legal Ombudsman must usually be made within six months of our final response to your complaint.

The Legal Ombudsman can investigate complaints for up to six years from the date a problem occurred or within three years from when you found out about the problem.

The address is: PO Box 6806, Wolverhampton WV1 9WJ, telephone 0300 555 0333 or email [enquiries@legalombudsman.org.uk](mailto:enquiries@legalombudsman.org.uk)

## ICAEW Probate Compensation Scheme Regulations

In the unlikely event that we cannot meet our liabilities to you, you may be able to seek a grant from ICAEW's Probate Compensation Scheme. Generally, applications for a grant must be made to ICAEW within 12 months of the time you become aware, or reasonably ought to have been aware of the loss. Further information about the scheme and the circumstances in which grants may be made is available on ICAEW's website: [ICAEW | Probate Compensation Scheme Regulations](#).

## Professional Indemnity Insurance

Our professional indemnity insurer is AXA Insurance UK plc, 5 Old Broad Street, London EC2N 1AD; Allied World Assurance Company Ltd, 20 Fenchurch Street 19th Floor London EC3M 3BY; and Nexus Underwriting Limited, 52-56 Leadenhall Street, London, EC3A 2EB. Enquiries should be referred via Lockton Companies LLP of The St. Botolph Building, 138 Houndsditch, London, EC3A 7AG. The territorial coverage is worldwide, excluding USA and Canada.



**PEM**  
Salisbury House  
Station Road  
Cambridge CB1 2LA

t. 01223 728222  
e. pem@pem.co.uk

