

Compliance

HFMIIL Complaints Policy – Summary for Clients

November 2022

This is a summary of the Complaints Policy that can be sent to Clients.

COMPLAINTS POLICY

Federated Hermes believe that we have a duty that extends beyond the purely financial; that we must act as stewards of the investments we manage. We do this because we believe it is right for investors and right for society. At Federated Hermes, all of our clients are very important to us. Whilst we aim to offer the best service possible, we do recognise that there may be occasions where Federated Hermes will receive a complaint.

Policy Objective:

We are committed to resolving a complaint through our internal procedures which are summarised in this document. This complaints handling procedure is applicable to Hermes Fund Managers Ireland Limited.

Principles:

The general principles governing the Firm's Policy are:

- **Complaint awareness:** Requirement to provide appropriate information to inform all clients of our complaint handling process
- **Complaint handling:** Requirement to provide a written acknowledgement to the Complainant within 5 working days of receiving their complaint and to seek to resolve all complaints within 8 weeks of receipt
- **Root cause analysis:** Business areas with complaint handling responsibility must have processes to carry out effective root cause analysis
- **Governance and Oversight:** All complaints will be notified to the Board on an intra-Board meeting basis and will be discussed by the Board at the quarterly Board meeting
- **Regulatory Reporting:** Requirement to record the necessary complaint information to meet our regulatory reporting requirements

Key Policy Statements

- **How to make a complaint:** A complaint can be made by phone or in writing (post or email). The Complainant shall explain in detail the facts behind the complaint, providing all relevant supporting documentation if applicable. All complaints must be sent to the Client Relationship Manager. Should this not be possible the complaint must be sent to the Compliance department.

Postal address:

Hermes Fund Managers Ireland Limited
7/8 Upper Mount Street,
Dublin 2,
D02 FT59,
Ireland

Email address: #HFMICompliance@FederatedHermes.com

- **Federated Hermes complaint procedure:** Federated Hermes will acknowledge the complaint within 5 working days of receipt and will inform the Complainant of the name and

contact details of the person handling the complaint. Where possible we will aim to resolve the complaint within the 5 working days timeframe. Where the complaint is not resolved within 5 working days, regular updates on the progress of the complaint investigation will be provided and a final response will be sent within eight weeks of receipt of the complaint.



Financial Services and Pensions Ombudsman: If, after receiving the final response, the client is unhappy with the response we provided, they may be eligible to refer their complaint directly to the Financial Services and Pensions Ombudsman if deemed as an eligible complainant. The client can also refer the complaint directly to the Financial Services and Pensions Ombudsman if we have failed to provide them with an adequate response within the eight week period detailed above, and they are dissatisfied with the delay in dealing with their complaint. The Financial Services and Pensions Ombudsman's contact details are:

Financial Services and Pensions Ombudsman

Lincoln House

Lincoln Place

Dublin 2

DO2 VH29

Web: www.fspo.ie

Email: info@fspo.ie

Tel: +353 1 567 7000

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