

Complaints Policy

This Complaints Policy sets out the process for you to make a complaint, if you are dissatisfied with any aspect of our service. For the purpose of this policy, “we” refers to APEX Litigation Finance Limited (“APEX”).

Our intention is to provide you with the highest level of service, but we acknowledge that on occasion, things can go wrong and we may not meet the expectations to which you are entitled. We ask you to follow the process below to notify us, to resolve your complaint and improve the standard of our service to you.

What is a complaint?

A complaint is an expression of dissatisfaction requiring a response, communicated verbally, electronically, or in writing. Complaints may be made by any user of our service.

All matters of concern or dissatisfaction raised by you in relation to our services are subject to this Policy and its supporting procedures.

Aims of this Policy

The aims of the Policy are to ensure the complaints process is flexible, fair and responsive to your needs. Our focus is to communicate effectively with you and involve you in our decisions concerning the handling of your complaint.

This Policy seeks to ensure that:

- You are listened to and treated with courtesy and openness
- Complaints are properly investigated
- By making a complaint, you are not disadvantaged in any way
- We guarantee effective communication
- Apologies are given as appropriate
- We guarantee effective communication
- If we have an action to rectify the cause of the complaint, this will be implemented as soon as practically possible
- Complaints handling complies with confidentiality and data protection law
- Complaints enable us to learn, improve our service and do better

How do I make a complaint?

You can contact us by telephone or in writing (by email or letter).

In the first instance, it may be helpful to contact the person dealing with you at APEX, who will do their best to resolve your concerns. If you do not feel able to discuss your concerns with them, please use the contact details below.

The Commercial Director has the responsibility for investigating and dealing with complaints.

You can contact the Commercial Director by writing to:

APEX Litigation Finance Limited
20-22 Wenlock Road
London
N1 7GU

or by emailing tf@apexlitigationfinance.com

or by phone +44 (0) 208 012 7944

To help us to understand and focus on your complaint, we need to be aware of all the information you have. Can you please provide us with:

- Your full name and contact details:
- What you think we have got wrong; and
- How you think we can resolve your complaint would like your complaint to be resolved.

Please send this information to us by telephone or in writing (by email or letter)

My complaint involves other organisations

If your complaint includes other organisations, we will follow the process below and agree a way forward with you, including seeking your agreement to forward your complaint to the other organisation(s) for investigation.

How will APEX deal with my complaint?

As soon as you raise a complaint with us, we will follow the step-by-step process below:

- We will send you a letter acknowledging your complaint within three working days enclosing a copy of this Policy. We may need to ask you for further information at this stage.
- Your complaint will be added to our complaints log.
- Your complaint will be thoroughly investigated.
- We may need to ask you for further clarification or information. If so, we will ask you to provide the information within a specific period of time.
- We will update you on the progress of your complaint at appropriate times.

- We will aim to be in a position to write to you in detail within 4 weeks of our acknowledgment of your complaint to tell you what we have done and what we propose to do to resolve your complaint. If, for some reason this is not possible, we will write to you to explain the stage the investigation has reached and how soon we expect to be able to provide a full reply. We can assure you that our aim is to resolve your complaint as quickly as possible.

What if I am not happy with the outcome of my complaint?

If you remain dissatisfied with the outcome of your complaint, we will refer your complaint to the Managing Director of APEX to independently review your concern.

We will aim to issue you with a final decision within 4 weeks of your initial complaint's decision.

Dispute Resolution

If we are unable to resolve your complaint, the matter shall be referred to a single arbitrator whose decision shall be final. The arbitrator shall be agreed between the parties, or failing agreement, shall be appointed by the Chairman of the Bar Council for the time being. The cost of the arbitration shall be in the arbitrator's award. Every notice which needs to be given under this Policy must be given in writing. Notice to us must be to our head office (detailed above) and to you at you last known address or to your representative.

Review of this Policy

This Policy was last updated in January 2022, version 1.0.