

# Treating Customers Fairly

Albert E Sharp LLP (“AES”) aims to treat all of our customers fairly and this page is intended to provide a detailed understanding of what this means and the method used to achieve it. If you feel at any point that you have not been treated fairly for any reason by AES or its agents please contact us with the details and we will address your concerns.

The 11 cornerstone principles of the Financial Conduct Authority (FCA), the regulator in the UK which authorises and regulates AES, cover this point in Principle 6 which states 'a firm must pay due regard to the interests of its customers and treat them fairly'.

Treating Customers Fairly is an expectation which reaches into every aspect of your relationship with us. This includes, but is not limited to, the outcomes listed below.

- You can be confident that you are dealing with a firm where the fair treatment of customers is central to our corporate culture.
- Our products and services are marketed directly to you or via an intermediary with care taken that they are suitable for your needs and objectives.
- You are provided with clear information and are kept appropriately informed before, during and after the point of sale.
- If you receive advice from us, the advice is suitable and takes account of your circumstances.
- You are provided with a discretionary portfolio that performs as we have led you to expect, and the associated services are both of an acceptable standard and as you have been led to expect.
- You do not face unreasonable post-sale barriers imposed by us to change portfolio, switch provider, submit a claim or make a complaint.

All members of staff are actively incentivised to bring any example where a procedure may not have resulted in a customer being treated fairly to the attention of senior management. Any incidents will be investigated thoroughly and corrective action taken if appropriate.

The AES Board of Partners will consider the principle of treating customers fairly at each board meeting and look at complaints, identified rule breaches and any other information which they feel important to monitoring the outcomes of our clients.