

## Complaint Handler

**Department:** Compliance

**Location:** Office Based – Witney, Oxfordshire or Newcastle-under-Lyme, Staffordshire  
(6 months fixed term contract)

**Reporting to:** Head of Courtiers Investment Services Limited Compliance

**Regulatory Context:** FCA-regulated, CASS medium firm, platform & SIPP/ISA operator

### Role Purpose

As a Complaint Handler at Courtiers Investment Services Limited (CISL), you will be responsible for managing, investigating, and resolving customer complaints relating to CISL's investment platform, SIPP/ISA products, and advisory services. You will ensure all cases are handled in accordance with FCA DISP rules, CISL's internal policies, and the firm's commitments under Consumer Duty. This role is critical to maintaining regulatory confidence and delivering consistently fair customer outcomes.

### Key Responsibilities

- Manage an allocated caseload of complaints from initial receipt to final resolution.
- Conduct detailed investigations into issues related to CISL's platform operations.
- Draft clear, accurate, and empathetic communications including Final Response Letters (FRL).
- Communicate with customers and advisers via phone and email.
- Identify vulnerable customers and apply CISL's vulnerability framework.
- Ensure all complaint outcomes reflect FCA DISP and Consumer Duty principles.
- Maintain full and compliant audit trails.
- Support CISL's Quality Assurance processes.
- Identify recurring operational issues and provide feedback.
- Participate in remediation projects or thematic reviews.

# COURTIERS

## Job Description

### Skills & Experience

#### Essential:

- Experience handling complaints within financial services.
- Understanding of FCA DISP rules and Consumer Duty.
- Ability to analyse complex customer journeys.
- Excellent written and verbal communication.
- High attention to detail.
- Ability to manage a caseload in a deadline-driven environment.

#### Desirable:

- Experience with investment platforms or SIPP/ISA administration.
- Familiarity with CASS principles.
- Knowledge of adviser distribution models.
- Professional qualifications (e.g. Diploma PFS.).

### Behaviours & Competencies

- Strong customer focus.
- Calm and empathetic under pressure.
- Constructive process challenge.
- Collaborative working style.
- High integrity and discretion.

### Performance Measurement

- Compliance with FCA DISP and internal timescales.
- Quality of Final Response Letters.
- QA results and audit outcomes.
- Contribution to MI and Root Cause Analysis.
- Reduction of repeat causes.