



Regulatory complaints data

01 JANUARY TO 30 JUNE 2023

Everything we do at Vanguard is designed to give you the best chance of investment success and we pride ourselves on the service that we deliver. Sometimes, however, we may fall short of your expectations and we ask you to let us know so that we can correct and improve our service. We'll work hard to resolve your complaint fairly and quickly.

In this document, we show the number of complaints we received and closed from 01 January 2023 to 30 June 2023. This data is published in a format suggested by the Financial Conduct Authority (FCA), the UK financial regulator.

Complaints publication report

Firm name:	Vanguard Asset Management Limited
Group: (if applicable):	The Vanguard Group, Inc
Other firms included in this report (if any):	n/a
Period covered in this report:	01 January to 30 June 2023
Brands/trading names covered:	Vanguard Personal Financial Planning (VPFP) Vanguard Personal Investor Vanguard

PRODUCT/SERVICE GROUPING	INVESTMENTS	DECUMULATION & PENSIONS
Number of complaints opened by volume of business (provision as at reporting period end date)	1.30 per 1000 client accounts	3.66 per 1000 policies in force
Number of complaints opened	741	335
Number of complaints closed	556	224
Percentage closed within 3 days	36.69%	17.86%
Percentage closed after 3 days but within 8 weeks	45.14%	54.01%
Percentage upheld	55.39%	71.87%
Main cause of complaints opened	Delays /Timescales	Delays /Timescales

Important information

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