

CLIENTS COMPLAINTS PROCEDURE

As a regulated firm, Foran Glennon (UK) LLP is bound by the Solicitors Regulations Authority's ("SRA") Code of Conduct and the SRA Transparency Rules. Chapter 1 of the Code deals with complaints handling. A copy of the Code may be obtained from www.sra.org.uk. We are also required under Rule 2.1 of the SRA Transparency Rules to provide information about:

- our complaints handling procedure;
- details about how and when a complaint can be made to the Legal Ombudsman; and
- details about how and when a complaint can be made to the SRA.

Rule 2.1 requires us to publish this information on our website or make it available on request.

General

All complaints will be thoroughly investigated in accordance with the firm's complaints procedure, be they minor, for instance because of a delay or lack of communication, or be they about the quality of our service. It is important to ensure that any complaint is properly handled.

Sometimes a complaint has to do with the behaviour of a fee-earner or the firm. The SRA can help you if you are concerned about such a behaviour. This could be for things like dishonesty, taking or losing your money or treating you unfairly because of your age, a disability or other characteristic. You can raise your concerns with the [Solicitors Regulation Authority](http://www.sra.org.uk).

Complaints procedure

This is the firm's written complaints procedure that we are able to provide to clients on request.

Receipt of complaint and investigation

If a client raises a service-related or other issue with the fee earner with day-to-day responsibility for the matter, the fee earner will inform the client that the client partner will consider the issue. The client partner should then deal with the issue with a view to resolving it to the client's satisfaction. It is possible that the fee-earner in question and the client partner is the same person. If the client partner is unable to resolve the issue to the client's satisfaction, it will be referred to the complaints partner (currently, Helen Franzese). If a service-related or other issue is received by the complaints partner direct from the client, the complaints partner will normally ask the client partner to attempt to resolve the issue but, if this cannot be done, the issue will be dealt with as outlined above. Once a complaint is referred to the complaints partner, the complaints partner will tell the client in writing how the complaint will be handled and in what timeframe they will be given an initial and/or substantive response.

FORAN GLENNON (UK) LLP

11 Leadenhall Street, London, EC3V 1LP www.foranglennon.co.uk

Chicago ■ Newport Beach ■ San Francisco ■ New York ■ London ■ Denver ■ Las Vegas ■ Phoenix

Complaint outcome and response to client

As soon as the investigation has been completed, the client will be given an explanation of the outcome of the complaint, either oral or written.

A response will be given to all complaints from clients. Where a complaint is upheld, appropriate forms of response may include:

- an apology at the earliest opportunity coupled with an explanation of what, if anything, went wrong, any consequential changes made to the firm's procedures or systems and assurance that the cause of the complaint will not happen again;
- prompt and proportionate redress which may, where appropriate, include the reduction or cancellation of a bill; or
- notification to the client of his or her right to see another solicitor and obtain advice on whether we have been negligent. Any impact on the client and inconvenience resulting from the complaint needs to be considered as well as what went wrong initially.

Legal Ombudsman

In all cases, the client has the right to complain to the Legal Ombudsman Service. Details of how to do so are set out below.

Once the firm's internal procedure has been completed, the client has the right to complain to the Legal Ombudsman.

The client must allow the firm at least eight weeks to resolve his or her complaint before involving the Legal Ombudsman but subject to that, the client should contact the Legal Ombudsman as soon as he or she can. The Legal Ombudsman has produced three helpful booklets to guide you if you have a complaint. We can let you have copies on request or you can find them on the Legal Ombudsman's website. They are called "Here to Help", "Making a Complaint" and "Guide to Good Complaints Handling".

The time limits for making a complaint are six years from the act or omission giving rise to the complaint, or three years from when the complainant should reasonably have known that there were grounds for complaint. In addition, the complaint should be made to the Legal Ombudsman within six months of the completion of the firm's formal complaints procedure.

The Legal Ombudsman will not accept complaints where the act or date of awareness was before 6 October 2010.

The Legal Ombudsman may be reached as follows: Website: www.legalombudsman.org.uk
Email: enquiries@legalombudsman.org.uk Tel: 0300 555 0333 Overseas: +44 121 245 3050
Post: Legal Ombudsman PO Box 15870 Birmingham B30 9EB