

**FORMAL COMPLAINTS HANDLING PROCEDURE****1. INTRODUCTION**

Fried, Frank, Harris, Shriver & Jacobson (London) LLP (“**Fried Frank**”) strives to provide its clients with the highest possible standards of legal advice and service at all times. Should you feel that at any point we have fallen short of this aim and wish to raise concerns or a complaint with us, we have put in place a Complaints Handling Procedure, details of which are set out below.

Fried Frank is regulated by the Solicitors Regulation Authority (“**SRA**”) (SRA Nr. 401441) and must comply with the SRA Code of Conduct. For further details about the SRA, please consult the SRA website: [www.sra.org.uk](http://www.sra.org.uk). This also sets out when it would be appropriate to contact the SRA in relation to a solicitor’s service or behaviour (for further detail, please see below).

**2. INITIAL CONTACT**

In the first instance, please contact the individual identified in your engagement letter with Fried Frank as the individual in charge of your matter. If you have not signed an engagement letter with Fried Frank, please contact the London Managing Partner: Mark Mifsud. Mark can be contacted on +44 20 7972 9600 or at [mark.mifsud@friedfrank.com](mailto:mark.mifsud@friedfrank.com).

The person contacted will discuss your concerns with you either immediately or at a mutually convenient time to try to resolve them.

We hope that most queries can be dealt with openly, constructively and informally. Should you however remain dissatisfied with the outcome of such contact and communication, please follow our Complaints Handling Procedure as set out below.

**3. FORMAL COMPLAINT****3.1 Raising a Formal Complaint**

Please contact Mark Mifsud (London Managing Partner and Complaints Handling Partner) in writing.

Mark can be contacted at:

E-mail [Mark.mifsud@friedfrank.com](mailto:Mark.mifsud@friedfrank.com)

Tel. +44 20 7972 9600

Address:

Fried, Frank, Harris, Shriver & Jacobson (London) LLP  
41 Lothbury  
London EC2R 7HF

Please mark the correspondence as a formal complaint.

**3.2 Fried Frank’s Initial Response**

## FORMAL COMPLAINTS HANDLING PROCEDURE

Mark, or his nominee, will contact you within 7 days of receipt of your complaint, in writing and by email or post, setting out:

- summary details of your complaint as we understand them. You will be asked to confirm that these are correct and may need to provide further information in order for us to investigate your matter fully;
- who is dealing with your complaint and their contact details;
- the timescale in which we aim to respond to you (we will always aim to respond as soon as possible, and in any case within 8 weeks of receipt of the complaint); and,
- if applicable, details of how to contact the Legal Ombudsman should you be eligible to do so, and in the event you remain dissatisfied with the outcome of the investigation.

### 4. INVESTIGATION AND FINAL RESPONSE

Full details of your complaint will be kept together with details of all investigations into it.

Any investigation is likely to involve contact with, and requests for, further information from other members of staff or third parties involved in the matter. Any contact with other members of staff and/or third parties will be subject to our duty of confidentiality and any personal data processed as a result of such investigation will be processed in compliance with our Data Protection Policy, a copy of which can be accessed here: [Client Data Protection Policy](#).

Once we have all material required to conduct a full and detailed investigation of the complaint, we will consider the matter in depth. We will do this as soon as possible and in any event within 8 weeks of receipt of your complaint. We will then invite you to a meeting to discuss our findings and the outcome of the investigation.

Following such meeting, we will write to you, by email or by post, within 5 days of the meeting to confirm our findings and any solutions we have agreed with you.

If you do not wish to meet with us or are unable to do so, we will send you a written report of our findings and the investigation. This will include our proposals for reaching a solution with you.

#### Review of Investigation and Response

If you remain dissatisfied with our findings and response, please let us know in writing by e-mail or by post that you wish us to review our findings. We will then arrange to do so, as follows: any second review will be led in the first instance by the person who conducted the investigation, and then by a third senior person at Fried Frank who was not involved in the investigation.

This review should take no more than 2 weeks from your request and we will communicate the result of such review to you in writing, either by e-mail or by post within 3 weeks of your request to review.

If appropriate, we may invite you to agree to an independent mediation. If this is the case, we will contact you with further details of timescales and procedure.

### 5. EXTERNAL ASSISTANCE

#### 5.1 The Legal Ombudsman

If we are unable to resolve your complaint with you, you may have recourse to the Legal Ombudsman. The Legal Ombudsman will only agree to review a complaint if you have

**FORMAL COMPLAINTS HANDLING PROCEDURE**

attempted to resolve it with Fried Frank first. In any case complaints must be brought to the Legal Ombudsman:

- within 6 months of receiving a final response from us to your complaint;
- no more than 6 years from the date of act/omission giving rise to the complaint; or
- no more than 3 years from when you should have reasonably known there was cause for complaint.

The Legal Ombudsman can be contacted at:

Tel. 0300 555 0333

E-mail: [enquiries@legalombudsman.org.uk](mailto:enquiries@legalombudsman.org.uk)

Post: Legal Ombudsman, PO Box 15870, Birmingham, B30 9EB.

Please note that recourse to the Legal Ombudsman will only be available to individuals, charities, clubs, trusts or micro-enterprises as defined in the European Commission Recommendation 2003/361/EC of 6th May 2003 (broadly, an enterprise with fewer than 10 staff and a turnover or balance sheet value not exceeding €2 million). It is therefore unlikely to be available to the majority of our clients.

**5.2 The Courts**

If your complaint relates to fees, you may have a right to object to an invoice by applying to the court for an assessment of the invoice under Part III of the Solicitors Act 1974.

**5.3 The Solicitors Regulation Authority**

There are instances when you may take a complaint about a solicitor or firm to the Solicitors Regulation Authority. Such instances would include concerns regarding a solicitor's behaviour e.g. acting dishonestly, unfair treatment because of age, gender or race or taking or mishandling client money.

A link is provided below for reporting a solicitor:

<https://www.sra.org.uk/consumers/problems/report-solicitor.page>

Further details can be found at [www.sra.org.uk](http://www.sra.org.uk).