

Annex 1CR Illustration of the online reporting requirements, referred to in DISP 1.10.2AR (Complaints by Retail Investment Advisers)

Complaints by Retail Investment Advisers

Nil Return Declaration - DISP 1 Annex 1CR

- 1 Does the data in this return cover complaints relating to activities carried out by one or more employees when acting as a retail investment adviser (RIA)? If 'Yes', then please list unique identification information for all RIAs included on this form. A

- 2 We wish to declare a nil return

- 3 **Total complaints, complaints closed, complaints upheld and total redress paid during the reporting period**

A	B	G	H	I	J	C	D	E	F
IRN	Name of RIA	Date of birth	NI Number	Passport Number	Nationality	Total number of complaints received	Total number of complaints closed	Total number of complaints Upheld	Total redress paid