

Annex 1CR Illustration of the online reporting requirements, referred to in DISP 1.10.2AR

This annex belongs to *DISP* 1.10.2AR

COMPLAINTS BY RETAIL INVESTMENT ADVISERS REPORTING / NIL RETURN DECLARATION

| | | | |
|----------|---|-----|----|
| 1 | Does the data reported in this return cover <i>complaints</i> about matters relating to <u>the retail investment activities carried out by one or more retail investment adviser(s) (RIA)</u> ? Please list the individual reference numbers of all the RIAs included in this return. | Yes | No |
| 2 | We wish to declare a nil return | Yes | No |

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

| | A | B | C | D | E | F |
|---|-----|-------------|-------------------------------------|-----------------------------------|-----------------------------------|--------------------|
| | IRN | Name of RIA | Total number of complaints received | Total number of complaints closed | Total number of complaints upheld | Total redress paid |
| 1 | | | | | | |
| 2 | | | | | | |
| 3 | | | | | | |
| 4 | | | | | | |

NOTES ON THE COMPLETION OF THIS RETURN

Nil Returns

If no *complaints* have been received during the reporting period or none of the *complaints* received is about matters related to the retail investment activities carried out by a retail investment adviser the firm may submit a NIL RETURN by clicking on the relevant box.