

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 activities carried out by one or more <i>employees</i> when acting as a <i>retail investment adviser</i> (RIA)? If 'Yes', then please list the individual reference numbers (IRNs) 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 relating to activities carried out by an *employee* when acting as a *retail investment adviser* the *firm* may submit a NIL RETURN by clicking on the relevant box.