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 authorised and regulated by the Solicitors Regulation Authority ("**SRA**") (SRA Nr. 401441) and must comply with the SRA Standards and Regulations, including the Codes of Conduct. For further details about the SRA, please consult the SRA website: 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: Ashar Qureshi. Ashar can be contacted on +44 20 7972 9173 or at ashar.qureshi@friedfrank.com ashar.qureshi@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 Ashar Qureshi (London Managing Partner and Complaints Handling Partner) in writing.

Ashar can be contacted at:

E-mail: ashar.qureshi@friedfrank.com

Tel. +44 20 7972 9173

Address:

Fried, Frank, Harris, Shriver & Jacobson (London) LLP 100 Bishopsgate

London EC2N 4AG

Please mark the correspondence as a formal complaint.

3.2 **Fried Frank's Initial Response**

Ashar, or his nominee, will contact you as soon as reasonably practicable following receipt of your complaint, in writing 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
- 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

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 an investigation of the complaint, we will consider the matter in depth. We will do this as soon as soon as reasonably practicable. 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, as soon as reasonably practicable 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.

Article I. 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.

We will aim to conclude the review within no more than 2 weeks from your request where possible and, once the review has concluded, we will aim to 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 attempted to resolve it with Fried Frank first. In any case complaints must be brought to the Legal Ombudsman:

- within six months of receiving a final response from us to your complaint;
- no more than one year from the date of act/omission giving rise to the complaint; or
- no more than one year 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

Post: Legal Ombudsman, PO Box 6806, Wolverhampton, WV1 9WJ.

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.

6. COMPLAINTS FROM NON-CLIENTS

We aim to deal promptly, fairly and effectively with any complaint a non-client may have about any matter relating to our business as solicitors.

If you are a non-client who makes a complaint to us we will follow a procedure appropriate to the nature of the complaint, which will include a review of the complaint by a partner designated by us to investigate non-client complaints. That partner will contact you usually within 14 days of receipt of your complaint to confirm our position on your complaint and explaining our reasons.

If you are still dissatisfied, the Legal Ombudsman may be prepared to investigate your complaint if you satisfy the relevant criteria (please see further details in paragraph 5.1 above).

You may at any time make a report to the Solicitors Regulatory Authority (please see further details in paragraph 5.3 above).

Last reviewed March 2025.