

## REGULATORY INFORMATION

### Status

Fraser Dawbarns LLP (“the Firm”) is a Limited Liability Partnership which is registered at the Law Society number OC353893 and are authorised and regulated by the Solicitors Regulation Authority.

### Complaints Procedure

If you have any questions, queries or concerns about our work for you or about the bill for our charges, please take them up first with the individual dealing with your matter. If that does not resolve the problem to your satisfaction or you would prefer not to speak to that individual, then please take it up with the head of the relevant department of the Firm. The identity of the department heads is available from our website at [www.fraserdawbarns.com](http://www.fraserdawbarns.com), or from any office of the firm.

If your complaint is still not resolved you may refer the matter to the firm’s Client Relations Manager, David Osborne, who may be contacted at 21 Tuesday Market Place, Kings Lynn, Norfolk, PE30 1JW or by email ([davidosborne@fraserdawbarns.com](mailto:davidosborne@fraserdawbarns.com)), or by telephone (01553 666610). We will make every effort to resolve any complaints raised with us through our internal complaints procedure. If you are not satisfied with our handling of your complaint you can ask the Legal Ombudsman, PO Box 6806, Wolverhampton, WV1 9WJ, about your complaint. Any complaint to the Legal Ombudsman must usually be made within six months of the date of our final written response on your complaint, but for further information, you should contact the Legal Ombudsman on 0300 555 0333 or at [enquiries@legalombudsman.org.uk](mailto:enquiries@legalombudsman.org.uk).

The following time limits also apply to referring your complaint to the Legal Ombudsman:

1. If the act or omission giving rise to your complaint (“the act or omission”) was more than six years ago or took place before 6 October 2010 you must refer your complaint to the Legal Ombudsman within three years of when you should reasonably have known you had cause for complaint (“date of knowledge”) and your date of knowledge must have been after 5 October 2010.
2. If the act or omission was after 5 October 2010 you must refer your complaint to the Legal Ombudsman within six years of the act or omission.

The Solicitors Code of Conduct can be found on the Solicitors Regulation Authority website at [www.sra.org.uk](http://www.sra.org.uk).

If you would like to see our written complaints procedure we will provide you with a copy of it upon request.

It is important to appreciate that if a complaint is made to us we still may be entitled to charge interest on any of our bills that remain unpaid.

The Legal Ombudsman may not deal with a complaint about a bill if the client has applied to the court for assessment of that bill.

### VAT Number

Our VAT number is 750873712.

## **Professional Indemnity Insurance**

We maintain professional indemnity insurance in relation to the services that we provide. Our insurers are the International Insurance Company of Hannover of 10 Fenchurch Street, London, EC3M 3BE whose claims handlers are Inter Hannover Claims c/o BLM King's House, 42 King Street, Manchester M3 2NU. The territorial coverage of our insurance is England & Wales.

## **Financial Services – Investment & Insurance**

We are not authorised under the Financial Services & Markets Act 2000, nor are we regulated by the Financial Conduct Authority, but we are able, in certain circumstances, to offer a limited range of investment services to clients because we are members of the Law Society of England and Wales. We can provide these investment services if they are an incidental part of the professional services we have been engaged to provide. If while we are acting for a client, the client needs advice on investments, we may have to refer the client to someone who is authorised to provide the service.

Fraser Dawbarns LLP is not authorised by the Financial Conduct Authority. However, we are included on the register maintained by the Financial Conduct Authority so that we can carry on insurance mediation activity, which is broadly the advising on, selling and administration of insurance contracts. This part of our business, including arrangements for complaints or redress if something goes wrong, is regulated by the Solicitors Regulation Authority. The register can be accessed by the Financial Conduct Authority website at <https://register.fca.org.uk>.

The Law Society of England and Wales is a designated professional body for the purposes of the Financial Services & Markets Act 2000. The Solicitors Regulation Authority is the independent regulatory body of the Law Society. The Legal Ombudsman is the independent complaints handling body responsible for handling complaints against solicitors (see details above). If you are unhappy with any investment advice you receive from us or with any insurance advice you receive from us, you should raise your concerns with either of those bodies.